DOING HEALTH POLICY ADVOCACY AT THE LOCAL LEVEL

A Manual for Trainers

ACKNOWLEGMENT

THIS Manual and the companion manual for participants have been made possible through several months of work by Roberto M. Ador. He is the past Executive Director, and now Executive Director Emeritus, of the Philippine Legislators' Committee on Population and Development Foundation (PLCPD). He has an MPH (International Health) degree from the University of Washington.

In developing the Manual, the author is aided by his many years of experience in doing both national and local policy advocacy, strategic planning, policy analysis, policy communication, training module development and actual training facilitation. For this Manual, the author's sources have been enriched by documented materials arising from his own experience as principal trainer of the various policy formulation write-shops in Benguet and Pangasinan provinces where PLCPD serves as the Service Implementing Organization (SIO) under the MSH/LEAD for Health Project.

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Table of Contents

List of Figures

. . . .

List of Boxes

List of Forms

. . . .

x

INTRODUCTION

The growing popularity and use of advocacy and the expansion of its definition in the context of pursuing development and change in the country augur well for the successful planning and implementation of innovative development interventions at the local level. One such intervention is the MSH Leadership Enhancement and Development (MSH-LEAD) Project which calls for the extension of technical assistance to local government units and other relevant stakeholders in selected provinces and municipalities across the country in their pursuit of Commodity Self-Reliance (CSR) in the areas of family planning, tuberculosis, Vitamin A supplementation and HIV/AIDS. Advocacy is intended to become one of the strategies to realize this objective focused on bringing about desired policy changes that will make CSR a success.

This advocacy manual is one of the tools to support the technical assistance requirements of the project and facilitate and strengthen efforts at the policy level to create a stable local policy environment on CSR. The way to do it is to have a critical mass of advocacy practitioners from among the various stakeholders at that level that can carry the brunt of needed advocacy efforts for sustainable CSR policies.

What is the manual about?

This Manual has been purposely prepared to serve the very specific requirements of the technical assistance on the four core health issues. Whenever possible, the situations described when it becomes necessary to do that in the manual, highlight their relationship with the four core health issues. Even the examples used are derived from some of the documented experiences already made in the short course that the project has been implemented.

Needless to say, advocacy approaches and tools have a universality so that they can be applied to other issues as well. It is a matter that can largely be inferred from the design of the Manual itself and will not be dwelt upon here.

This Manual is primarily designed to be a teaching tool in training activities. It comes in two sets of which the first serves as the main manual to be used as a guide for facilitators, and the second to serve as the handout for participants.

The course is flexible enough so that it can be compressed and reduced to a basic course when cascaded to other levels of training participants. Just retain the most basic elements and reduce the technical topics and the number of workshops. For example, in the stakeholder analysis topic, what may be removed are the SWOT Analysis and Venn Diagram sub-topics. In the message development module, most if not all of the skills forming topics can be done away with for later sessions.

As a whole, the module will be a useful reference and review material for different types of advocates in the course of pursuing a particular advocacy. But each chapter or module will be more useful and important according to the expertise and likes of different types of advocates and stakeholders even if they do not go through formal training. Policymakers and health professional may generally find Chapters 1, 2, 3, 4 and 7 as very useful; researchers, Chapters 1, 2, 3, and 5; and networking specialists, Chapters 1, 2, 3, 4, 5, and 7.

For a trainers' training where three days or less are the only available time, the entire intermediate chapters can be collapsed into mere orientation sessions and reconstituted at some future date into a single training module or three separate specialized training activities.

The Facilitator's Manual is designed for facilitators who not only have sufficient facilitation skills but also have sufficient or advanced knowledge about policy and advocacy. Having these qualifications, the design of the facilitator's manual lumps instructions in a series of statements to give them sufficient flexibility and fluidity to navigate the topics on their own and follow the main flow without being boxed into strict step-by-step instructions unless provided for in some of the most delicate topics. Thus, the instructions have been written in a stream of "things to do" to give facilitators the opportunity to use their unique approaches and to provide the details on their own.

Lastly, only three icons are used to depict the time, the module or topic introduction or spiel, and the facilitation instruction or "things to do", respectively. These are the following:

Duration $00:00$

Spiel

and Things to do

PART I
PUBLIC POLICY AND ADVOCACY

Objectives

After going through the module the participants will have

1. Increased their working knowledge and
    understanding about policy, its various definitions
    and elements, and the various processes involved in
    the context of the public policymaking environments
    in which they are situated;

2. Made a preliminary identification of the stakeholders
    involved in public policymaking at the local
    government level; and

3. Arrived at a common understanding of the local
    legislative policy process.

Chapter 1
PUBLIC POLICY AND POLICYMAKING AT THE LOCAL LEVEL

<u>B a c k g r o u n d   N o t e s</u>
00: 05

What is policy? It is often regarded that there are difficult words to which no single, precise meaning can be applied. It includes the term "policy" whose meaning almost always depends on who is using it and what context it is used.

Rather than be fixated with finding a single definition to the word, the facilitator/participant is referred to how various people use the term "policy" in Box 1. More than these meanings, what is important to understand is that policy is a process. Authors Turner and Hulme believe that by seeing policy as a process, a historical dimension is added to it. Therefore, the word is imbued with dynamism and alerts the perceptive facilitator or participant to its changing foci, such as policy-making, policy implementation and policy change.

Policy involves decisions. And policy decisions are not only made once but oftentimes in a series. It implies the use of power such as to act or not to act. In politics, non-decision is hugely important as it is still policymaking. For example, the decision of the mayor of a certain city not to allocate any budget for the purchase of family planning supplies for couples who need them is a policy one of whose consequences would potentially deny family planning services to those couples and may result in pregnancy related deaths to mothers and their children.

Another characteristic of policy is that it is purposive behavior. However, what is physically evident could mask other objectives and intents of the one making decisions. It is also common experience that in some situations, the rationalization of policy comes after a decision has been made and outcomes realized.

Policy is generated by human agents. Being that, it is important to analyze the behavior of those who make policy because they often have multiple, conflicting and changing objectives. Moreover, even those who make policy may enter or exit the policy process at any of its different stages.

Given these, it is best to disabuse the minds of advocates to think of policy as a 'highly rational process in which expert technicians are firmly in control

using highly tuned instruments to achieve easily predicted outcomes" (Turner and Hulme). Other authors call the policy process itself as turbulent, messy and unpredictable not only as a whole but at its every stage.

Nowhere is it more evident in health. Any health change effort is a fundamentally political process that involves formulation, implementation and evaluation. Therefore, it cannot just be approached clinically through the "technician approach" where the discipline and skills of health professionals, or any non-"political" professional for that matter, are more attuned to. Facilitators, trainers and future advocates need to expand their understanding of the nature of policy and its political dimension to be able to meet fully the objectives that the training requires and to ensure optimum adaptability and flexibility to various situations that may arise in the course of imparting knowledge, developing the attitudes and improving the skills of participants at the local level whose political circumstances and backgrounds are very diverse.

W h a t   i s   P o l i c y ?
00: 10

Most material on advocacy almost always associates advocacy to policy. Since policy has a larger meaning than advocacy, it is necessary that the word be demystified even if many people, whether they are aware of it or not, may have already participated in the formulation, implementation, or evaluation of policy. By first exploring the dimensions of policy we will be able to provide context to advocacy and obtain a better perspective of why there is a need for advocacy. What do you know out policy?

Give each of the participants an idea card and a pentel pen and ask them to write their own definition of policy. Instruct them to paste their idea cards on a flipchart with the title "Definition of Policy".

Ask some of the participants to elaborate on what they have written on their idea cards. Support some of the concepts that they have given based on agreement with the various definitions of policy that are displayed as a template on another piece of kraft paper (Box 1.1) . Clarify some points that are not clear.

Elaborate on the various definitions of policy.

Box 1.1. How do People Use the Term 'Policy'?

- *As a label for a field of activity*
  For example, broad statements about a government's economic policy, industrial policy, or law and order policy.

- *As an expression of general purpose or desired state of affairs*
  For example, to generate as many jobs as possible, to promote democratization through decentralization, to attack the roots of poverty.

- *As specific proposals*
  For example, to limit agricultural landholdings to 10 hectares, to devalue the currency by 10 percent, to provide free primary education

- *As decisions of government*
  For example, policy decisions as announced in he national assembly or by a president

- *As formal authorization*
  For example, acts of parliament or other statutory instruments

- *As a program*
  For example, as a defined and relatively specific sphere of government activity such as a land reform program or a women's health program

- *As output*
  For example, what is actually delivered such as the mount of land redistributed in a reform program and the number of tenants affected

- *As outcome*
  For example, what is actually achieved such as the effect on farmer income and living standards, and of agricultural output of a land reform program

- *As a theory or model*
  For example, if you do x then y will happen; if we increase incentives to manufacturers then ndustrial output will grow; if more opportunities are provided in rural areas then migration to cities will slow down

- As process
  As along-term matter starting with the issues an moving through objective-setting, decision-making to implementation to evaluation

Adopted from Turner and Hulme

Conclude the discussion through the following:

- The Oxford English Dictionary definition of "policy" is: "A course of action adopted and pursued by a government, party, ruler or statesman, etc; any course of action adopted as advantageous or expedient."

- Since the definition presupposes the existence of a state and its institutions, there is a public element to it, which brings in "politics" into its definition.

- In some dictionaries, politics and policy are interchangeable (Hill).

The Policy System
00: 10

Show to the participants the Modified Model of Easton's Policy System on a flipchart or kraft paper (Figure 1.1). Ask them what they understand about the model. List down on another flipchart their observations of the model. Include their observations of the model as you discuss the Elements of the Policy System (Box 1.2). Make a synthesis of the discussion.

GENERAL ENVIRONMENTAL FACTORS
(Political, Economic, Social, Technological, Legal and Environmental or PESTLE)

SUPPORTS

DEMANDS

INPUTS

DECISION

DECISION AREAS

OUTPUTS

OUTPUTS

SPECIFIC ENVIRONMENTAL FACTORS:
Competition, Cooperation and Linkages
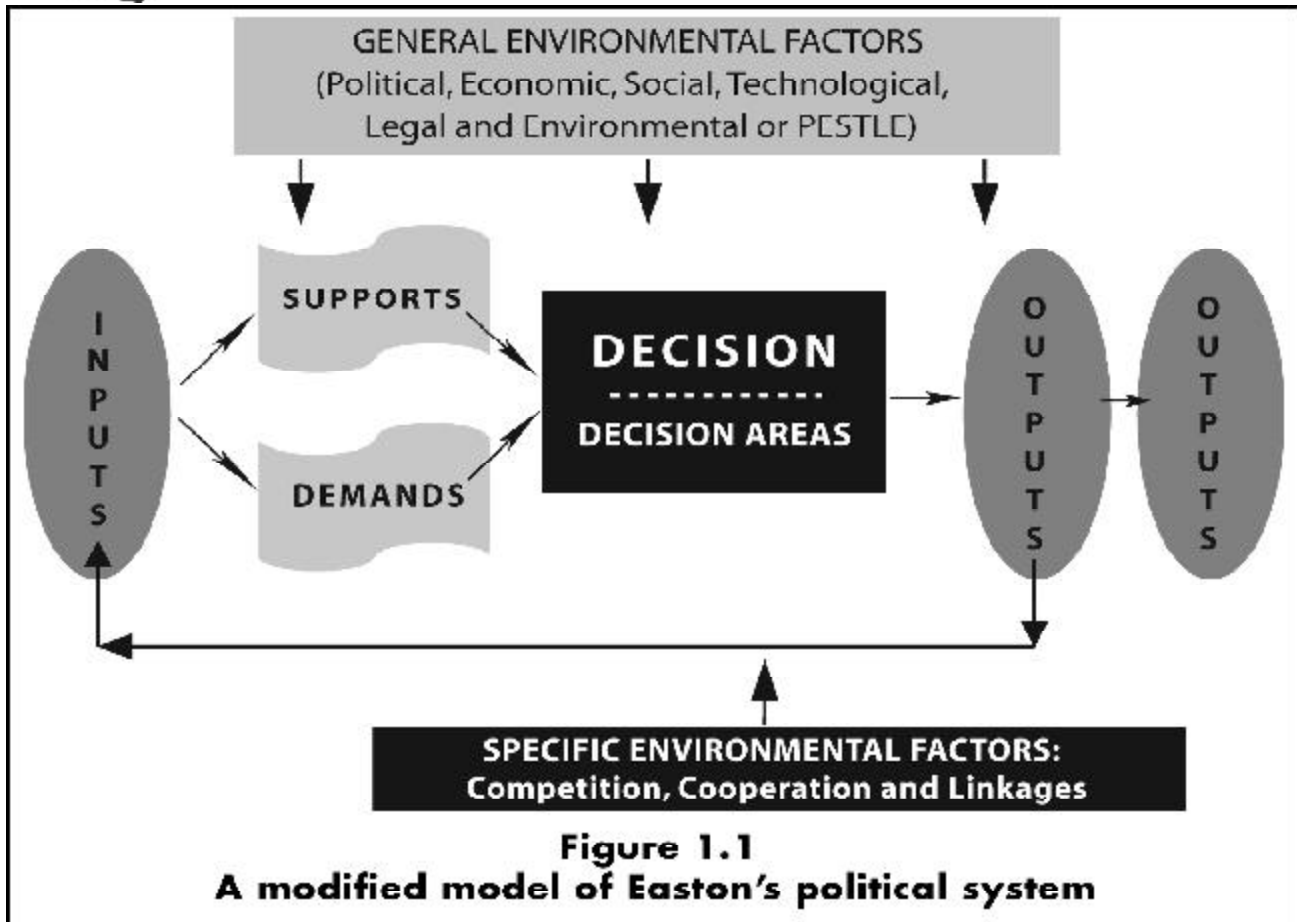
Figure 1.1
A modified model of Easton's political system

Adopted and modified from Hill

Box 1.2. Elements of the Policy System

1. Inputs are those that constitute demands and supports.
2. Demands are actions by various individuals and groups who seek authority in the allocation of values from the state.
3. Supports involve actions such as voting, payment of taxes and observance of the rule of law.
4. These are converted in the decision-making black box – the conversion process – to produce the outputs or decisions and policies.
5. Outputs, in turn influence future inputs and the cycle is completed.
6. In this model, outputs may be distinguished from outcomes, which are the effects of policies on the citizens.
7. Everywhere in this model, the external environment consisting of political, economic, social, technological, legal and environment factors influence the inputs, the conversion process and the outputs.

Adopted and modified from Hill

The Policy Environment
00: 10

Outside the images of a seamless process for the creation of a policy as seen from its seemingly well-crafted product such as a law, a program or a project, the truth is that the policy environment is often turbulent and messy, even when the conflict may not be so apparent at times. It is because policy is vitally important whether one might be interested in its quantity, quality, direction or even symbolic value (Turner and Hulme), and is therefore subject at any of its stages to the push and pull of various environmental factors and of interest groups in society. Turner and Hulme classified the various environmental factors that modern-day public sector managers in developing countries confront. An equivalent of many of these factors undoubtedly confronts policymakers at the local level.

Draw a matrix consisting of six boxes (Figure 1.2). On each of the boxes write each of the following titles or categories: "Political", "Economic", "Socio-Cultural", "Technological", "Legal" and "Environmental". Provide sub-titles to the socio-cultural box with the following: "Social", "Demographic" and "Cultural". Ask the participants to give examples of these environmental factors that could affect policy. Why are such factors important?

Figure 1.2. Environmental Factors

Political	Economic
State-society relations	Gross national product
Legitimacy	Structure of production
Regime type	Labor
Ideology	Domestic capital
Elites and classes	Foreign exchange
International links	Foreign aid and debt
Institutions	Poverty and inequality
Elections	Informal sectors
Social	**Technological**
Education	Infrastructure
Health	Industry
Recreation	Communication
Human rights	Science
Demographic	
Population growth	
Age structure	
Ubanization and migration	
Health	
Cultural	
Ethnicity	
Family and kinship	
Values and norms	
Gender	
History	
Legal	**Environmental**
Justice system	Land
Laws	Air
Human rights	Water
	Forests

Adopted and modified from Turner and Hulme

The Model of the Policy Process
00: 10

There are several, sometimes overlapping views, on the model that most approximates the policy cycle and its stages. The model of the policy process developed by Michael R. Reich is chosen for illustration. As the two figures suggest, while the ideal for the policy process is a loop, it could also go haywire and move into different directions with political decision (or non-decision) as the only consistent element.

In a pair of kraft papers or flipchart show two models of the Policy Process (Figure 1.3A and Figure 1.3B). Ask the participants their interpretation of each of the models and what makes them different. List their observations on a flip chart. Include their observations in the Things to Remember About the Policy Process (Box 1.3).

Figure 1.3A. Model of the Policy Process
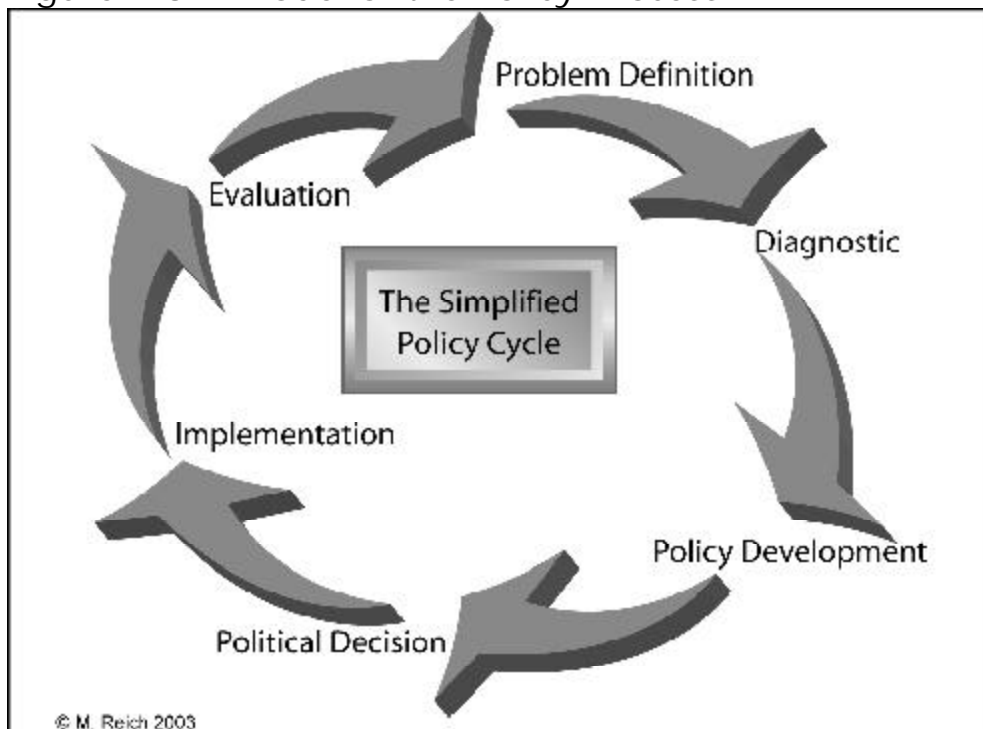
Adopted from Michael Reich

Figure 1.3B. Revised Model of the Policy Process

Adopted from Michael Reich

. . . . PUBLIC POLICY AND POLICYMAKING AT THE LOCAL LEVEL . . . . Chapter 1

11
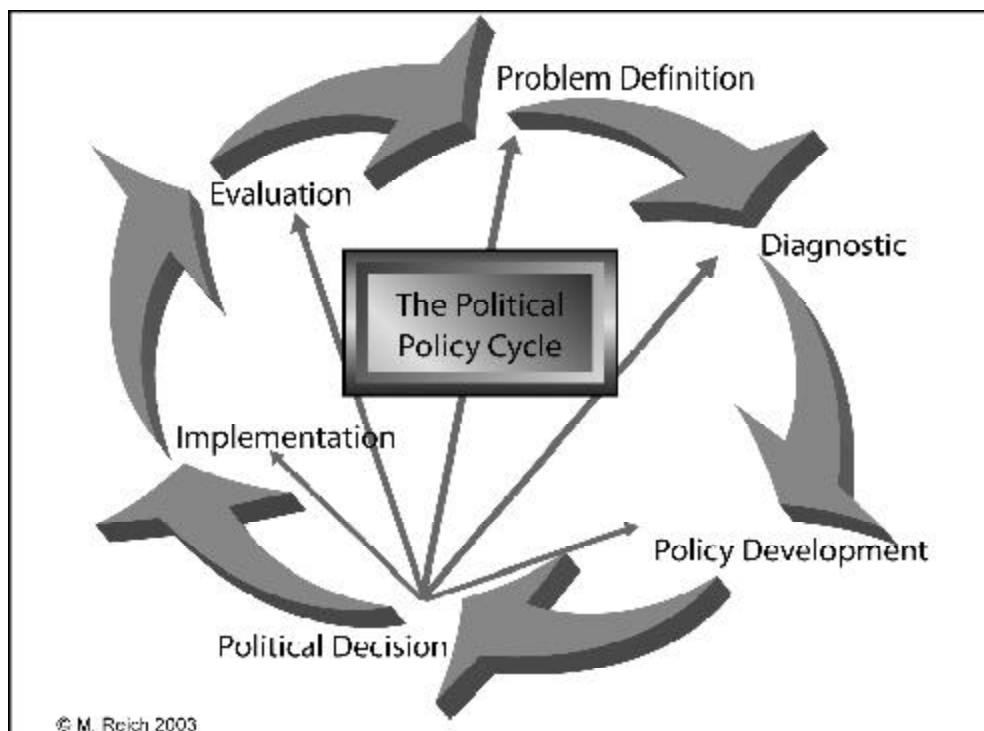
Box 1.3. Things to Remember About the Policy Process (Hill)

- Policy processes continuously evolve in which the starting point may be too far back in history;

- "Policy initiation" may start anywhere in the system;

- There is no basis for predicting how much will occur in the actualization or concretization of policy at any stage of the process to the extent that it may even gradually manifest itself in the process of implementation; and

- The different stages of the policy process are not insulated from each other so that there could be a succession of feedback loops among them; it is possible that the players and their game are consistently carried out in every stage.

Stakeholders in the Policy Process
00: 10

There are generally no restrictions as to the variety of actors in the policy process and they can be either individuals or groups or both. For purposes of classification, however, we refer to the major groupings that Lindenberg provides, and suit the classification specific to the level of sophistication of the country. Lindenberg describes the Three Modern-day Policy Actors as the State, Political Society and Civil Society (Figure 1.4).

The three major types of actors represent the sources of power and influence in modern-day society. It is thought that they are in constant interaction and tug-of-war where the ideal is a balance in their power and influence to attain a state of equilibrium as the figure illustrates.

Ask the participants to name some of the actors in each category. List them on a flip chart. Include their contribution in your list of Major Policy Actors in the Policy Process (Box 1.4).

Figure 1.4. Major Groupings of Modern-day Policy Actors
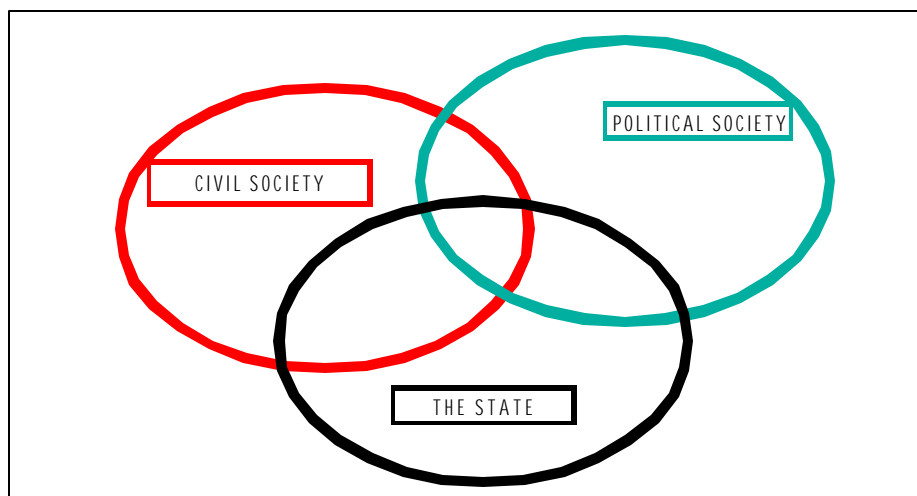
Adopted and modified from Lindenberg

Box 1.4. Major Actors in the Policy Process

The State

1. Elected officials such as the President, Vice President, Senators, the members of Congress and various local government units
2. Appointed officials such as the members of the Cabinet, Constitutional bodies, the courts and the military corps
3. The bureaucracy
4. Related institutions and personalities

Political society

1. Political parties
2. Party-list organizations
3. Related institutions and personalities

Civil society

1. Non-governmental organizations
2. Research and academic institutions
3. Business organizations
4. The media
5. Faith-based organizations
6. People's organizations
7. Related institutions and personalities
8. Research organizations
9. Leagues of local government units

Adopted and modified from Lindenberg

The Local Legislative Process
00:15

At the local level, the differentiation among the various major actors could be less obvious, the number of players could be fewer and the power and influence of some of the players could be lesser than the established authorities that represent the larger state. Political parties are less delineated at the local level although there are indications that some of the grassroots-based Party-list organizations continue to organize and are expanding their influence in more and more areas. NGOs and other civil society organizations, previously city-based, or uninvolved in governance activities, are also seeing unprecedented expansion and trying to reach even the remotest municipalities.

At both the national and local levels, the legislative cycle is almost the same. It is inherent in the powers and functions of local legislative bodies to pass local laws called ordinances and resolutions. The legislative process constitutes the core of the work of local legislative bodies called sanggunians. It is necessary to understand this process in order to determine the access points for advocacy.

Ask the participants who among them have experience in local legislation either as a member of the executive or legislative branches. Ask some of them to discuss the importance of the phases and steps in local legislation. After the discussion, divide the participants into three (3) smaller groups distributing local chief executives and legislators among these groups. Distribute one set of the Local Legislative Process cards to each of the groups. Explain to them that a set of cards consists of names of five phases and thirteen steps. Be certain that the cards are dis-arranged. Instruct each group to discuss and reach agreement on the correct sequence of the phases and steps with the pertinent steps classified under an appropriate phase. The groups should place their cards on kraft paper. Review the instructions to ensure the participants' full understanding. Ask for representatives from the workshop groups to discuss the results of the activity. What are the similarities and differences? Unfold your prepared template (Figure 1.5) of the local legislative process and make a synthesis of the topic.

1	Filing of Proposed Measure (any member)	
2	Measure recorded in logbook or legislative trcking system	Phase 1: Introduction
3	FIRST READING (title only)	
4	Committee Referral of Proposed Measure	
5	Committee Hearing and Meeting	Phase 2: Committee Deliberation & Action
6	Committee Report	
7	SECOND READING (Entire draft measure is read)	
8	Committee Sponsorship of Measure	Phase 3: Sanggunian Deliberations
9	Debate and Amendments	
11	Printing and Distribution of Final Version	
11	THIRD READING (Final vote with quorum)	Phase 4: Final Voting
12	Approval or Veto by Mayor	
	Veto Approval	Phase 5: Approval and Review
13	Ordinance Review	
14	Posting & Effectivity	Phase 6: Publication & Effectivity

Figure 1.5. Steps in Local Legislation

.... Chapter 1

15

Objectives

After going through the module the participants will have:

1. Increased their understanding of advocacy, its various definitions, related concepts, as well as the processes and steps in carrying out advocacy

2. Agreed on a common definition of advocacy that suits their own situation;

3. Obtained a preliminary understanding of the methods of advocacy that they may use in future undertakings.

Chapter 2
ADVOCACY AND RELATED CONCEPTS

Background Notes

Advocacy in the Philippines has been first associated with the political and social movements starting from the 1970s. It arose as an effort to realize structural and systemic change due to widespread poverty and because of political and human rights suppression.

After the People Power (or EDSA) Revolution in 1986, the complexion of advocacy changed in many directions. A segment of the anti-dictatorship organizations, many of them NGOs, almost exclusively devoted their programs and resources to delivering socio-economic services to their constituents oftentimes working with some of their colleagues who had been appointed to important positions in the succeeding governments post-EDSA and were capable of redirecting programs, services and money to them. Others, who still saw the futility of working within the system, continued to exist in direct confrontation with mostly executive institutions while engaging in limited socio-economic services to their local partners whose funding came from outside donors. Others gradually explored the legislative arena and, with the implementation of the Party-List law, actually succeeded in bringing in some of their leaders to become policymakers.

A variation of participation in legislative policymaking has been seen in the gradual growth and accumulation of strength and successes of issue-based policy advocacy organizations. One of the earliest successes in engaging Congress in policy advocacy was the passage of the anti-rape law helped out by women NGOs and other women's organizations. A succession of other victories came especially in the passage of the environmental laws such as the Clean Air Act, Solid Waste Management Act and the Clean Water Act.

Perhaps one of the elements that effectively redefined policy advocacy in the country is the involvement of policymakers as advocates themselves. Nowhere is this experience unique and distinct than that experienced in the Philippines where legislators even organized themselves into the Philippine Legislators' Committee on Population and Development to have a venue for advocacy among their peers. This is now called person-to-person advocacy or advocacy with peers in the policymaking arena. The experience makes a strong case for advocacy at the local government unit, using as part of the standard formula advocacy made by local policymakers among other local policymakers.

The largely successful stories in policy advocacy at both the national and local levels have made advocacy a very popular term and a catch-all word for various

activities that are either truly advocacy or just vaguely related to it, such as activities that aim to influence public behavior change (sometimes called public advocacy) or activities to involve media to support particular advocacies (sometimes called media advocacy). The participants are forewarned not to confuse these terms and always remember that advocacy is almost always associated with policy and policy change.

What is Advocacy?
00: 30

Within and among our respective life and work situations and as leaders holding certain responsibilities in our respective fields, there is no doubt that we have already heard about advocacy. Advocacy, therefore, is not new. Even if you never used the word before, you would have used one or more advocacy activities in the past without you being so much aware of it. If you are a local government chief executive, you would have made representations with a high-level government executive on a program, project or policy issue that would benefit your constituency. That is advocacy. If you are a local legislator, you would have encouraged one or many among of your peers to support you on a particular policy proposal you wanted approved by the Sangguniang Bayan. That, again, is advocacy. Or if you are one among those who are petitioning for the passage of a tree-planting ordinance, you are conducting advocacy.

What, indeed, is advocacy? Since advocacy may mean different things to different people, it is necessary that we agree on a working definition of advocacy which we can use throughout the training.

Ask for volunteers among the participants to write on idea cards words or phrases (not more than three words) they associate with advocacy. Ask them to place their work on a blank kraft paper with the title, "What is Advocacy?" Help the participants process the ideas to clarify what they mean or to consolidate repeated words or phrases.

After clarifying their ideas about advocacy, present to the group various definitions culled out from various sources. You can use a template, a PowerPoint presentation, a handout or all of these as they appear in Box 2.1. Read some of the definitions aloud.

Box 2.1. Advocacy Defined

· Advocacy is a set of targeted actions directed at decision makers in support of a specific policy issue. Advocacy is first and foremost a process, occurring over unspecified amounts of time, sometimes brief and often lengthy. Advocacy is also strategic and targets well-designed activities to key stakeholders and decision makers. And lastly, advocacy is always directed at influencing policy, laws, regulations, programs, or funding—decisions made at the uppermost levels of public or private sector institutions.

   — The Policy Project, *Networking for Policy Change:*
      An Advocacy Training Manual

· Advocacy is an action directed at changing the policies, positions or programs of any type of institution.

   Advocacy is putting a problem on the agenda, providing a solution to that problem and building support for acting on both the problem and solution.

   Advocacy can aim to change an organization internally or to alter an entire system.

   Advocacy can involve many specific, short-term activities to reach a long-term vision of change.

   Advocacy consists of different strategies aimed at influencing decision-making at the organizational, local, provincial, national and international levels.

   Advocacy strategies can include lobbying, social marketing, information, education and communication (IEC), community organizing, or many other tactics.

   Advocacy is the process of people participating in decision-making processes which affect their lives.

   — Ritu Sharma, *An Introduction to Advocacy*

· Advocacy is the act or process of supporting a cause or issue. An advocacy campaign is a set of targeted actions in support of a cause or issue. We advocate a cause or issue because we want to:
   • build support for that cause or issue;
   • influence others to support it; or
   • try to influence or change legislation that affects it.

   — International Planned Parenthood Federation, *IPPF Advocacy Guide*

- Advocacy is strategic action that influences decision making (for and against) in order to improve the social, economic, political environment toward the improvement of the community.

  Advocacy is about bringing positive changes to all levels of society through the identification of issues, taking of a position, mobilization of resources, organization of structures and mechanisms, and implementation of strategies.

  Advocacy is a continuous process which leads to positive change in attitudes, behavior, and relationships within the family, workplace, and community, and state and society i.e. all social institutions.

  — From the report of the Asia-Pacific Advocacy Training of Trainers, co-hosted by GWIP and the Center for Legislative Development, 1997

- Advocacy is working with the voiceless, organizing people to speak for themselves. Citizen-centered advocacy is an organized political process that involves the coordinated efforts of people to change policies, practices, ideas, and values that perpetuate inequality, intolerance and exclusion. It strengthens citizens' capacity as decision makers and builds more account-able and equitable institutions of power.

  — VeneKlasen and Miller, *A New Weave of Power, People and Politics: The Action Guide for Advocacy and Citizen Participation*

- Advocacy is speaking up, drawing a community's attention to an important issue, and directing decision-makers toward a solution. Advocacy is working with other people and organizations to make a difference.

  —CEDPA, *Cairo, Beijing and Beyond: A Handbook on Advocacy for Women Leaders*

- Advocacy is a planned and continuous effort to inform people about an issue and instigate change. Advocacy usually takes place over an extended period of time and includes a variety of strategies to communicate a specific message. Advocacy almost always targets policy makers, possible partners, fellow advocates, and the media. And the message is almost always the same, a passionate plea to: "Listen, you can't afford not to."

  — WHO Western Pacific, *Advocacy Guidelines to Stop TB in the Western Pacific Region*

Summarize the discussion by pointing out the common elements in the various definitions of advocacy:

- Creating new or reforming old policies, laws and budgets or developing new programs (SARA/AED);

- Educating policymakers, leaders and implementers and changing their behavior in the process (modified from SARA/AED); and

- Creating more democratic, open and accountable decision-making structures (InterAction, 1995) preferably with the widest possible support of the constituencies of the proposed policy change

Using the earlier stated definitions and elements as well as those crafted by the participants as a guide, the participants can now be encouraged to agree on a common definition that adheres to their specific circumstances. Lead the participants in brainstorming on a definition that is supported by all. Ask them to display their working definition of advocacy in a prominent place inside the workshop venue.

Advocacy and Related Concepts
00:45

Advocacy can often be misconstrued as similar or interchangeable with the more familiar concepts such as IEC, extension work or community mobilization, and public relations. It is important to distinguish these different concepts as to the following features: key actors, target audience, objective, strategies and success indicators.

Prepare a template which has a matrix of six columns and five rows that will differentiate advocacy in relation to concepts that are very closely related to it. Write down the concepts in the first column and the title of their classification by feature in the first row as shown in Figure 2.1. Divide the participants into four groups and to each group assign a particular concept. Distribute color-coded idea cards on which they will write the description of each of the concepts according to their individual features. Ask each of the groups to brainstorm on the concept assigned to them in order that they can agree on their descriptions. Ask each of the groups to place their idea cards in the matrix. Ask them to make a presentation of the results of their discussion.

Ask the participants if they see some commonalities in the various features of each of the concepts. Ask where can they find the possible intersects, if any?

Display your version of the description of the various concepts. Lead the discussion and include those from the participants' description that will improve your matrix.

Figure 2.1. Advocacy and Related Concepts

Advocacy and Related Concepts	Key Actors	Target Audience	Objective	Strategies	Success Indicators/s
Advocacy	Civil society which may consist of development-oriented NGOs, people's organizations, business groups, faith-based organizations, business groups, media organizations, academic and research institutions and even groups of policymakers including their leaders	Public institutions and policymakers	Broadly, policy change including laws, ordinances, programs, projects, implementation activities and resource allocation	Focus on policymakers and other public decision-makers with the power and influence to affect advocacy objective High-level and person-to-person meetings, dialogue and negotiations Public events including public forums and dialogues, policy conferences, delegations, rallies and media events	Process indicators Media monitoring Focus group discussions and key informant interviews Opinion polls Political mapping
IEC	Service providers	Individuals Members of a particular sector or sectors Segments of a community	Raise public awareness and change behavior	Audience classification Mass media campaigns Community outreach Traditional media	Measuring knowledge/skills acquired and behavior change Process indicators Focus group discussions Service delivery data and reports
Extension or community mobilization	Community and organization leaders and members Facilitators and organizers	Community and organization leaders and members	Build a community or organization's capacity to prioritize needs and action	House-to-house visits Community or organization meetings Participatory rural appraisal (PRA)	Issue-specific process and outcome indicators Quality of participation
Public relations	Business and commercial organizations	Consumers	Improve the company's image and improve sales	Large-scale advertising (TV, radio, and print media) Imaging campaigns Public events	Improved public perception Increased sales Increased market share

Conclude the discussion by explaining that in certain circumstances where the policy issue is of grave concern to citizens and there is strong opposition from certain vested interest groups, advocates have been using aspects of some or all of the other concepts. Sometimes, the distinction between and among these concepts becomes blurred, and it is for the advocates to be keen in preserving the primacy of the original objectives of their advocacy in order not to be sidetracked from its aims.

Benefits and Risks of Advocacy
00: 20

Now that the participants know the definition of advocacy and the elements that distinguish it from other concepts, they will now be in a better position to enumerate the benefits and risks that await those conducting advocacy. Prepare a two column matrix on a flipchart or kraft paper with the title "Benefits" in the first column and "Risks" in the second. Distribute two sets of color-coded idea cards and ask for volunteers to identify the benefits and risks of doing advocacy. Conduct a short discussion of what they have written in their idea cards. Process the idea cards in relation to the template you have earlier prepared entitled "Benefits and Risks of Doing Advocacy Work" (Box 2.2).

Box 2.2. Benefits and Risks of Doing Advocacy Work

Benefits

- Wider societal or sectoral effects of change

- Greater continuing impact on the living conditions of beneficiaries

- Challenging the structural causes of poverty; moving away from addressing the symptoms

- More sustainable approach to achieving organization's mission

- Increased awareness of the issues

- Better informed and enabled supporters

- Involvement in civil society, acting on ethics by encouraging action

- A more informed and committed donor constituency

- Opening up new sources of funding

- Increased profile of organization

- Improved links with other organizations through networks and coalitions

- Wider relations and improved dialogue with decision making bodies

- Better understanding of own organization and its role in wider policy debates

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Risks

- Diversion of scarce resources

- Over extend capacity

- Loss of organizational focus

- Duplication of effort amongst agencies

- Alienation of existing support by becoming overtly political

- Creation of an internal elite of advocates

- Distortion of message because of oversimplification

- Conflict of interest with partners

- Reduction in partner security

- Damage to reputation

- Loss of external and internal legitimacy if program work is displaced by advocacy

—-Adopted and modified from Bond, The How and Why of Advocacy: Guidance Notes No. 1, March 2005.

Types of advocacy
00: 10

As experience mounts in the use of advocacy to influence policy, so have certain types been developed to refer to specific lines of advocacy work. All types have a similar feature in their being ultimately centered on policy change but the means for realizing their objectives vary. Depending on the sophistication and resources of the advocacy organization, all the types of advocacy may be used individually, in sequence or combined all at once.

Brainstorm the participants on the types of advocacy that they could think of. In a prepared template, discuss the features of some of the types of advocacy that are in increasing use (Box 2.3.)

Box 2.3. Types of Advocacy

Policy advocacy

Policy advocacy initiatives focus exclusively on the policy agenda and a specific policy goal by directly influencing policymakers. This type of advocacy usually assumes that policy change will produce real change at the societal level or on the ground.

Public advocacy

Public advocacy utilizes the strength of numbers of citizens affected by a policy issue by relying on their organized efforts to bring to the attention of policymakers the necessity of policy change. This type of advocacy may involve public actions such as petitions, organized protests, demonstrations, sit-ins and non-violent civil disobedience--by large groups of people to air major grievances, to confront power holders, and to find ways to engage different decision-making systems. It may have, as additional objectives, changing citizens' awareness and behavior, empowering them in the process, and letting their leaders to lead them in pleading their cause or in supporting a policy issue.

Media advocacy

Media advocacy is utilizing the various media forms to obtain visibility to a policy issue in order to inform the public of its content, gain allies, and influence opinion leaders and policymakers. The crucial element in media advocacy is to tap media practitioners who are already sympathetic to the cause and to educate and inform those who are still new to the issue for them to provide more coverage and space to it in the news, opinion and feature stories.

— Adopted and modified from VeneKlasen and Miller

M e t h o d s   o f   A d v o c a c y
00: 10

There is no single, commonly accepted advocacy method that can be used in different situations. It may vary according to the nature of the issue and whether the action is reactive or proactive. It may also depend on the situation of the advocate or advocates and the means or resources that are available to them. The time involved in advocacy may be long or short depending upon the complexity of the issue and the push and pull of the different stakeholders who have interest in it. It may involve only one or more individuals or a large number of groups or networks and alliances.

Allow the participants to think through the methods that may be available to them based on the commonality of their work and life situations and the particular policymaker to whom they will conduct advocacy. Clarify that some of the methods may be very familiar to them as they may have already used these methods, perhaps repeatedly, in the past. Divide them in groups based on this commonality. Ask them to brainstorm the different advocacy methods based on the nature of the policy issue, their particular work and life situations and the target policymaker and list five or more advocacy methods. Ask them to report and discuss their outputs.

Discuss a prepared list of examples (Box 2.4) of possible advocacy methods. Relate the items in the participants' list that match the prepared list and explain why certain methods that do not match may not be suited to certain groups.

Box 2.4. Example of Advocacy Methods

A. Officials of a Sangguniang Bayan asking their District Representative to match their allocation for TB control in their municipality
1. Approval of an ordinance to allocate funds and a resolution conveying the need for a matching fund from the District Representative's budget
2. Petition signing among the top executive and legislative officials, health workers, and civil society organizations
3. Person-to-person meeting with the official
4. Sending of a representative delegation to plead the issue
5. Inviting the official on an occasion related to a community activity that addresses the issue

B. Officials of the Municipal Health Unit urging the approval of policies to comprehensively address family planning including fund allocation
1. Submission of a family planning program to the Mayor
2. Submission of a draft ordinance to the Sangguniang Bayan
3. Petition signing among the health workers and civil society organizations
4. Person-to-person meeting with top local executive officials and legislators
5. Sending of a representative delegation to plead the case
6. Inviting key officials on an occasion related to a community activity that addresses the issue

C. Civil society organizations working to address the inordinately high maternal and child mortality in Province X through the enactment of policies
1. Production of fact sheets, primers, flyers, policy analysis reports and policy briefs on the issue for distribution to policymakers

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2. Person-to-person advocacy with top executive and legislative officials of the province
3. Submission of a Draft Ordinance to the Governor and Sangguniang Panglalawigan
4. Petition signing among the province's most influential personalities, government officials, civil society and community organizations, faith-based organizations, business organizations, academic organizations, health workers and other groups
5. Sending of a representative delegation to plead the issue
6. Conduct of policy forums and dialogues inviting top executive and legislative officials
7. Conduct of press conferences and interviews; distribution to media of press releases and media statements; and appearance in TV and radio public affairs programs
8. Inviting key officials in an occasion related to a community activity that addresses the issue
9. Conduct of rallies and other organized actions participated in by community members

Steps in the Advocacy Process
01:00

As developing policies is rarely destined to be a linear process, so is advocacy. As uncertainties in the political environment happen so will there be a need to make frequent adjustments mirroring these changes in the manner and methods for advocacy. Opportunities and risks also come and go and advocates need to be very keen in seizing the opportunities and addressing the risks. The ability to seize opportunities and address the risks, however, does not reduce the importance of a sound process and deliberate planning. Hence, the exercise that will follow will demonstrate how to look at advocacy in a systematic way and effectively plan advocacy activities.

Discuss with the participants that since they already have a working definition of advocacy and have an understanding of the methods, they can now go through the various steps that make up the advocacy process. Divide the participants so that each group will at least have six members. Ask the groups to find a suitable area (a table, a breakout room or a wide enough space) where they can perform the exercise comfortably.

Distribute the advocacy cards to each group. Point out that they have two sets each of advocacy cards distinguished by the blue and yellow colors. The cards with the blue color represent the steps in the advocacy process. Those in the yellow cards represent the definition for each of the steps.

The groups' task is to collectively imagine an issue (the field of analysis) that they want to advocate and plan the steps in which they would carry it out. Through discussion, they will organize the blue cards first to reflect the order in which they intend to undertake the advocacy process. Then they will match each of the steps with its appropriate definition in the second set of cards.

Once consensus and understanding is reached about the advocacy steps and their matching definition, they can paste their work on kraft paper. They must take note of their agreement on why a particular card is so placed in a particular position in relation to the rest of the cards.

Reconvene the participants in plenary. Ask each group to report its work and explain why the cards and matching definitions have been arranged in such a manner.

After all the groups have presented their outputs, lead a discussion about the similarities and differences in the way the various groups arranged their advocacy process. Ask if there were differences of opinion on the manner that the cards were arranged and how these were resolved.

Unveil the template representing the recommended (Figure 2.2), most systematic way of presenting the advocacy process. Reinforce the explanation made by the groups.

Explain that like any process that involves decision making, they should be flexible and creative enough in its use and be aware of the opportunities and risks that come in their way. Remind them that since advocacy work transpires in an environment fraught with uncertainties, it is sometimes difficult to follow each step in the model of the advocacy process. However, it is still very useful to have a systematic understanding of the process itself to be able to plan better, make efficient use of resources, and remain focused on the objective.

Figure 2.2. The Advocacy Process

Issue identification	The problem around which advocacy for policy change will be promoted.
Stakeholder analysis or political mapping	Analysis of individuals, institutions and organizations that may affect, or be affected — negatively or positively — by an advocacy action. It includes the primary audience, the policymakers, who are being influenced.
Scanning the environment	Analysis of the internal strengths and weaknesses of an organization and the opportunities and threats it faces.
Analysis of problems, objectives and strategies	Interrelated steps to determine cause-effect, means-ends and alternative courses of action.

Building partnerships, networks and coalitions	Widening the base of support, distributing tasks and creating ownership for an advocacy issue.
Message development and identifying channels of communication	Statements specifically crafted to cater to specific audiences using various media.
Advocacy action planning	Involves a logframe consisting of the goal, immediate objective, results and schedule of activities showing the indicators, means of verification of results, assumptions and risks and the means to carry out the activities.
Advocacy implementation	Carrying out the tasks specified in the schedule of activities.
Data collection and analysis	Continuous gathering of data and analyzing and using them to adapt to the changes in the policy environment.
Monitoring and evaluation	Continuous gathering of information to measure progress as well as to determine if the objectives have been achieved.

—From various reference materials cited in the Manual.

Proceed to synthesize the activity by discussing the contents of the template entitled Summary Description of the Advocacy Process (Box 2.5):

Box 2.5. Summary Description of the Advocacy Process

Identifying the issue. Advocacy generally starts with identifying the issue around which advocacy for policy change will be promoted. It is the subject matter that determines the field of analysis of the whole advocacy process. In choosing the issue, it should satisfy the criteria of being focused, of clarity and of being widely felt by the advocacy group and its constituents.

Stakeholder analysis. This step involves an analysis of individuals and institutions or organizations that may affect, or be affected by, an

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advocacy action. It includes analysis of the target beneficiaries of the advocacy action and, also, the target audience (the policymakers). The effect may be direct or indirect and positive or negative. Stakeholder analysis answers the basic premise that various groups and individuals have different concerns, interests and capacities and that these need to be understood fully and recognized in the advocacy process. An extension of stakeholder analysis in this manual is political mapping in order to emphasize the political nature of advocacy.

Environmental scanning. Environmental analysis is used to analyze the internal strengths and weaknesses of an organization (be it a group, an independently existing organization, or a network of organizations) and the opportunities and threats it faces. It is otherwise known as SWOT analysis.

Problem, objective and strategy analysis. These are three interrelated steps that start with a systematic and detailed analysis of the problems that relate to the issue under study followed by a similar analysis of the objectives. It ends up with a determination of the strategies to be undertaken to enhance the feasibility for carrying out advocacy. In problem analysis, the negative aspects of an existing situation are identified and their cause-effect relationships established. An analysis of objectives requires describing the situation in the future once the identified problems have been remedied by establishing the means-ends relationship. The alternative strategies are derived by scoping and arranging the complex array of objectives into clusters of related objectives and classifying them into options.

Building partnerships, networks and coalitions. Numbers significantly matter in advocacy and developing a network of organizations that will provide the base and perform tasks in support of the issue add might and clout to advocacy. This step may form part of action planning, but important activities may have to be undertaken to at least formalize a core of the proposed network who will participate in the action planning.

Developing messages and selecting channels of information. Developing compelling and tailor-fit advocacy messages and selecting channels for communicating them to the policy audience enhance the effectiveness of advocacy. Advocacy channels may range from relatively inexpensive channels such as policy briefs, press releases, press conferences, getting invited to radio and TV public affairs programs to

relatively expensive to expensive ones such as public forums, public debates, policymaker conferences, and newspaper, radio and TV ads

Advocacy action planning. Action planning involves developing the planning structure, clarifying the logical arrangement of the goals, immediate objectives, results and activities, providing the indicators and sources of verification for the achieved results and identifying the assumptions and risks that may influence the advocacy action's outcome. It also includes preparation of the detailed activity schedule and estimating the means (budget and other resources) to carry out the activities.

Fund-raising. Funds and other resources (personnel, time and other materials) are necessary to carry out the advocacy activities uninterruptedly. All of these may not be available from within the organization or the network hence the need to identify contributors to carry out the advocacy plan.

Implementing the advocacy plan. After the action plan has been finalized and the funds and other resources have been readied, it is time to implement the activities according to the plan of action. Because of uncertainty in the advocacy environment, it is necessary to exercise maximum flexibility in the implementation of the action plan.

Data collection and analysis. Data collection and analysis are an ongoing process and traverse all the other advocacy steps. It is necessary to collect and analyze data to arrive at an informed judgment as alternatives and choices rise very step of the way in advocacy Some advanced advocacy organizations undertake a dedicated activities relative to data collection and analysis.

Monitoring and evaluation. It is also necessary to conduct monitoring and evaluation of the entire advocacy process. The advocacy organization or network should be able to put in place a monitoring plan even before they implement their advocacy plan. If using the logframe, there should be no problem evaluating the results as the objectively verifiable indicators (OVIs) should have been clearly stated there already.

Objectives

After going through the module the participants will have:

1. Gained understanding of the processes and steps in the analysis of advocacy issues using the Logical Framework Approach(LFA);

2. Honed their skills in the use of tools for issue identification, stakeholder analysis and political mapping, policy environment analysis, problem and objective analysis and advocacy strategy development; and

3. Generated their own draft of an advocacy strategy that corresponds to the needs of their own situation.

Chapter 3
CONDUCTING ADVOCACY ISSUE ANALYSIS

Background Notes

Exploring the various dimensions of a policy issue through the use of certain tools of analysis and using the results of analysis to institute policy change can be construed as engaging in a project, an advocacy project. One such set of tools of analysis and also of planning and evaluation is the Logical Framework Approach (LFA). The LFA has immense potential for use in local advocacy planning, implementation and evaluation and is the adopted set of tools for this manual.

The LFA was first developed by the United States Agency for International Development (USAID) to improve project planning and evaluation activities to fulfill the following objectives[1]:

- Institute systematic planning through clearly defined objectives to monitor and evaluate the success or failure of a given project;

- Clarify management responsibilities; and

- Ensure smooth evaluation procedures.

Because of its systematic process, rigor, and proven effectiveness, the LFA has acquired great popularity so that multilateral and bilateral agencies have since adopted it. Though different users have modified its format, terminology and tools, the principles governing its use has not changed. The LFA consists virtually of the same analytical process as traditional policy analysis, such as issue identification, stakeholder analysis, problem analysis, objective analysis and strategy development.

The Logical Framework Approach has to be distinguished from the Logframe Matrix. The latter is a matrix used to make further analysis of the objectives and the means to achieve them and includes the assumptions and risks that might affect

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[1] European Commission, EuropeAid Cooperation Office. 2004. Aid Delivery Methods, Volume 1: Project Cycle Management Guidelines. Brussels: Development DG.

the project, as well as its preconditions so that the activities could start on its track.

The Logical Framework Approach

00: 10

Ask the participants who among them are familiar with the Logical Framework Approach in policy analysis. How is it defined? Why is it important? What are the steps that the LFA follows?

Discuss the Logical Framework Approach as it appears in Box 3.1. Include the contribution of some of the participants in the discussion.

Box 3.1. The Logical Framework Approach (LFA)

The Logical Framework Approach (LFA) is a systematic and analytical process and set of structured tools used to support planning and evaluation.

The LFA involves the use of interrelated concepts that are studied, analyzed and logically arranged through an iterative process. Data and evidence are important elements of the LFA without which no informed decision can be arrived at in the process of analysis. Being just a tool and a systematic process of analysis, the Logframe can be regarded as an **aid to thinking**.

An Advocacy LFA has close kinship with the process involved in policy analysis already discussed in Chapter 1. These are the following:

- Issue identification
- Stakeholder analysis and political mapping
- Analysis of the public policy environment
- Problem analysis
- Objective analysis
- Strategy development

— European Commission.

The Logframe

00:15

Ask the participants who among them know the Logical Framework Matrix (Logframe). How important is it? How different is it from the LFA? What are its elements?

Ask a volunteer from the participants to illustrate with the use of the board or a flipchart a Logframe and to describe its elements.

Show the template of a Logframe as it appears in Figure 3.1. Discuss the structure and elements of a Logframe.

Figure 3.1. Typical Structure of a Logframe for an Advocacy Project

	Narrative Description or Intervention Logic	Objectively Verifiable Indicators (OVI)	Sources of Verification (SOV)	Assumptions and Risks
Development (or Overall) Objective	The project's contribution to policy change; impact	How the development objective is to be measured including quantity, quality and time	How the information will be collected, when and by whom	
Advocacy Purpose or Immediate Objective	Direct benefits that the project will bring to the target groups	How the Purpose is to be measured including quantity, quality and time	As above	If the Purpose is achieved, what assumptions must hold true to achieve the development objective?
Results or Outputs	Tangible products or services delivered by the project	How the results are to be measured including quantity, quality, time	As above	If the results are achieved, what assumptions must hold true to achieve the purpose?
Activities	Tasks that have to be undertaken to deliver the desired results			If Activities are completed, what assumptions must hold true to deliver the results?

— European Commission, Management for Development Foundation, UNFPA and other sources including the author's own.

Inform the participants that they will see more of the Logframe in the action planning stage of the workshop. Conclude the discussion by summarizing the following:

The Logframe is a matrix used to make further analysis of the objectives and the means to achieve them as well as to identify the assumptions and risks that might affect the project so that necessary activities can be undertaken to reduce the risks and ensure project success. It has to be distinguished from, although it has relationship with, the Logical Framework Matrix (Logframe).

The Logframe is the finished product of the whole analytical process. It consists of four columns and four or more rows which contains the summary of the whole project plan. It features the following:

- Hierarchy of objectives (the Narrative Description or Intervention Logic);

- Key external factors that are critical to the project's success (Assumptions and Risks); and

- How the achievements will be monitored and evaluated (Indicators and Sources of Verification)

Advocacy Issue Identification

01: 00

When individuals from an organization or from different groups come together to explore ideas for advocacy, they more or less have an initial idea of the issues that they want advocacy to be built upon. Frequently, there will be no shortage of good ideas and a long- and short-list can easily be achieved as the examples in the template shows (Box 3.2).

**Box 3.2. List of CSR Plus Policy Issues Identified
as Possible Subject/s of Advocacy in the Benguet Municipalities
Covered by the MSH Lead for Health Project[2]**

- User fees and recovery scheme

- Introduction of amendments to the Revenue Code

- Incentives for CVHWs

- Augmentation of number of health staff

- Adoption of CSR Plus Plan

- Market segmentation

- Increase in budgetary allocation for the four core health programs (FP, TB, Vitamin A/MCH and HIV/AIDS)

- Allocation from the GAD funds for CSR Plus

- Integration of CSR Plus in the Municipal Development Plan

- Availment of PhilHealth Capitation Fund

- Referral system

- CBMIS implementation

As the list shows, there is already a preponderance of policy issues that may or may not constitute an interrelated whole. For instance, it may be sufficient for some of the issues listed to have executive action. Meanwhile, other issues may indeed require legislative action. Some of those that require legislative action may be grouped together and generalized into a single policy issue but others may require a sequential approach or a series of legislative actions.

In order to arrive at a policy advocacy issue, it is necessary to frame it or delimit the field of analysis by using certain criteria that will establish its boundaries as the template of the Criteria for Advocacy Issue Identification shows (Box 3.3).

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[2] Reference is often made in this Manual of actual outputs from a series of policy formulation workshops in each of the municipalities of Benguet Province and of Baguio City conducted by the Philippine Legislators' Committee on Population and Development (PLCPD), acting as Service Implementing Organization (SIO) of the MSH Lead for Health Project. The names of the municipalities in the example have been deliberately removed.

Box 3.3. Criteria for Advocacy Issue Identification and Selection

1. Establish sufficient awareness of the policy issue or issues being considered. Provide emphasis on the availability of data and the quality of information regarding the issue.

2. Define the sector to which the issue belongs. Levels of analysis of the issue may be enlarged or constricted if the sector is sufficiently identified. Questions that can be raised include: Does it involve the whole institutional setting? Does it concern the health sector only? Can the health sector be broken down into policy components? If so, which components can be the subject of legislation? What issues can be the subject of executive decision? Which issues can be generalized into a single issue? Which policy issues behave sequentially?

3. Define the geographical focus. Does the issue cover the whole or part of a province, a municipality, or a barangay?

4. Rank issues that can be solved by advocacy by asking the following questions: To what extent can the issue be resolved through advocacy? To what extent will a solution be able to directly benefit the target groups or beneficiaries? What are the possibilities for involving the target groups in advocating the issue?

5. Identify issues that have not been ranked highest that can be incorporated as part of the selected issue.

6. Relate the organizational situation, priorities, and resources that can help in singling out an issue.

—From CARE, Advocacy Tools and Guidelines: Promoting Policy Change; European Commission and author's own.

Divide the participants into workshop groups by sectoral affiliation and/or geographical focus. Ask each group to select their policy advocacy issue concerning CSR Plus by following the criteria on the template and accomplishing the Matrix Ranking of Advocacy Issues on CSR Plus Concerns (Form 3.1). What issues are unique to each of the groups and are not just a copy of those already listed in the template? Remember to tell the workshops groups that hence their chosen policy issue (only 1 is recommended) will be their policy issue of focus for the rest of the workshop.

Explain how to make the ranking with 1 the lowest and 5 the highest. Ask them to encircle their top three highest ranked policy issues.

Ask each group to make a presentation of their selected policy issue/s and the process involved in arriving at that decision.

Form 3.1. Matrix Ranking of Advocacy Issues
on CSR Plus Concerns

Issues	Criteria			Scores
	Is it possible for the issue to be solved by advocacy?	Will advocacy benefit the people affected by the issue?	Will it be possible to involve the people affected by the issue?	
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				

—From CARE.

Stakeholder Analysis and Political Mapping
00: 15

Stakeholder analysis involves the identification, classification and characterization of potential major stakeholders to know their position, interests and power concerning a policy issue. Being that, it should be a primary concern of policy advocates to explicitly understand and recognize the different "players" or actors in the policy advocacy process for a particular issue. Stakeholder analysis is very important and stands at the core of advocacy issue analysis.

In health policy, Michael Reich, Dean of the Harvard School of Public Health, has done tremendous effort to imbue health policy analysis with its fundamentally political dimension. He has popularized political mapping to emphasize the fundamentally political nature of health that health practitioners do not frequently recognize.

On a flipchart write the words that people usually encounter when conducting advocacy-oriented stakeholder analysis. Include the following words: stakeholders, audience, policy champions, policy advocates or advocacy partners, and final beneficiaries. Ask the participants to help you define these concepts and list their contribution opposite these terms.

Unveil a template on the flipchart as shown in Box 3.4 containing a prepared definition of the terms relevant to stakeholder analysis. Discuss and include the definition contributed by the participants.

Box 3.4. Definition of Terms Used
in Policy-Oriented Stakeholder Analysis

Stakeholders - are individuals, groups, organizations or institutions that have a significant interest on the success or failure of an advocacy project. They constitute the advocacy audience, champions, other policymakers, implementers, facilitators coming from various sectors (such as civil society), final beneficiaries, or adversaries on a policy advocacy issue.

Audience – are individuals or groups engaged in policymaking that will be influenced for policy change.

Policy champions – are those whose leadership is huge in terms of the articulation of the issue, of gaining respect of colleagues, and of convincing a significant number of them to support an advocacy issue. It may also apply to leaders of advocacy organizations who have great influence not only in providing leadership to advocates but also in gaining the respect of the policy audience as well as the opposition.

Policy advocates or policy advocacy partners – are individuals, groups, organizations or institutions that are pushing for the approval of a certain policy advocacy issue. Not all policy advocacy issues may mean putting in place a new policy; it may also mean abolition or refinement of an existing policy.

Final beneficiaries – are those at the level of society or the sector who benefit from policy change resulting from the success of advocacy.

—Adopted and modified from European Commission and Management for Development Foundation (MDF), various documents.

Steps in Conducting Policy-Oriented Stakeholder Analysis

00:10

After obtaining a leveled understanding of the different terms, ask the participants about the steps involved in conducting stakeholder analysis. List what they have enumerated on flipchart. Unveil a template of the steps involved in stakeholder analysis (as shown in Box 3.5) and include what the participants have enumerated.

Box 3.5. Steps in Conducting a Policy-Oriented Stakeholder Analysis

1. Reflect on the selected policy advocacy issue

2. Identify all individuals and groups who would most likely have interest or be affected by action on the advocacy issue

3. Collect and analyze information regarding their respective roles or position, interests, relative power and capacity to participate for or against the issue

4. Identify and analyze the extent of cooperation, collaboration or conflict in the relationships between and among the stakeholders

5. Make conclusions and incorporate these in the advocacy project design so that:

   a) necessary activities are targeted to enhance cooperation and collaboration arrangements among those who support the advocacy issue and who could be won over among some of those who oppose or remain un-mobilized;

   b) management and coordination arrangements are suited to the capacity of the stakeholders to provide

   c) distributional and equity issues are properly addressed and incorporated in the policy issue

   d) conflicts among those who are supposed to be united in supporting the issue are provided in the identification of activities

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—Adopted and modified from European Commission and MDF

Conclude the discussion by explaining the following:

There are several tools that can be used in stakeholder analysis. Four of them including the stakeholder analysis matrix, political mapping of stakeholders, SWOT analysis and Venn Diagram, are illustrated with examples from reconfigured and modified cases among Benguet municipalities in connection with the MSH LEAD for Health Project. Blank forms of these will also be used as worksheets in the workshops for the stakeholder analysis.

Stakeholder Analysis Matrix
01: 00

The stakeholder analysis matrix is used to organize collected information and to classify and analyze stakeholders according to their basic characteristics; interests and how they are affected by the issue; their position and power; capacity and motivation to bring about change; and possible actions to address stakeholder interests as shown by the example that follows.

Present a sample stakeholder analysis matrix(Figure 3.2) based on real life situations from a municipality in the province of Benguet which is one of the provinces of the MSH LEAD project. Emphasize that situations differ from sector to sector and from area to area and the situation in their respective communities may be vastly different from the example stated here. Divide the participants into their original workshop groups with instructions to accomplish their own stakeholder analysis matrix based on the situation of their respective geographical areas using the template provided for (Form3.2). They are to transfer their finished product into kraft paper or on transparencies for the group presentation. Give 30 minutes for the workshop to accomplish the task and another 30 minutes for the group presentations and questions.

Figure 3.2. Sample Stakeholder Analysis Matrix on CSR Plus Policy Concerns in the Municipality of xxx, Benguet Province

Stake-holder/s	Basic characteristics	Interest and how affected by the issue	Position on policy change and power	Capacity and motivation to bring about policy change	Possible actions to address stakeholder interests

Stake- holder/s	Basic characteristics	Interest and how affected by the issue	Position on policy change and power	Capacity and motivation to bring about policy change	Possible actions to address stakeholder interests

Form 3.2. Stakeholders Analysis Matrix on Contraceptive Plus Policy Concerns in _____

(Geographical Coverage)

Stakeholder/s	Basic characteristics	Interest and how affected by the issue	Position on policy change and power	Capacity and motivation to bring about policy change	Possible actions to address stakeholder interests

Political (Position and Power) Map of Stakeholders

01:00

While the position and power of stakeholders have already been characterized in the stakeholder analysis matrix, there is a separate utility in drawing a political map for a rapid assessment of the alignment and "balance" between and among the various actors concerning the policy issue. The political map is divided into seven columns with the first three columns indicating the position and degree of support (high, medium and low), the last three columns indicating the degree of opposition and the middle column indicating "un-mobilized" or neutral. Each of the stakeholders are placed in a shaded box indicating the degree of their power and influence, with the heavily shaded box standing for high power, the medium shaded box, medium power and the lightly shaded box, low power. In workshops, the degree of power may be indicated by color-coded idea cards.

The political map for any policy issue is a dynamic map where alignments and position of some of the stakeholders may consistently change as they interact with the larger environment and with the other stakeholders. This may be captured by arrows indicating the direction of their position as the same sample political map (Figure 3.4) shows.

Finally, it is instructive to analyze and write the observations about the dynamics captured in the map with a view to its strategy implications as the sample Observations and Analysis of the Political Map on Contraceptive Plus Policy Concerns in the Municipality of xxx, Benguet (Box 3.6) shows.

Present a sample political map (Figure 3.3) based on real life situations from a municipality in the province of Benguet. Ask the participants how they would interpret the map. How important is it in their policy setting? How would they use the political map in other situations?

Divide the participants into their original workshop groups with instructions to accomplish their own political map based on the situation of their respective geographical areas using the template provided for (Form 3.3). Ask them to use a larger kraft paper so that they can make effective use of color-coded idea cards to depict the degree of power and through arrows to indicate the dynamic movement of some of the actors.

Below the political map, ask the workshop groups to write their observations and analysis of their map where clues about strategy can be obtained. Give 30 minutes for the workshop to accomplish the task and another 30 minutes for the group presentations and questions.

Figure 3.3. Sample Political Map of Stakeholders on Contraceptive Plus
Policy Concerns in the Municipality of xxx, Benguet

....Chapter 3

47
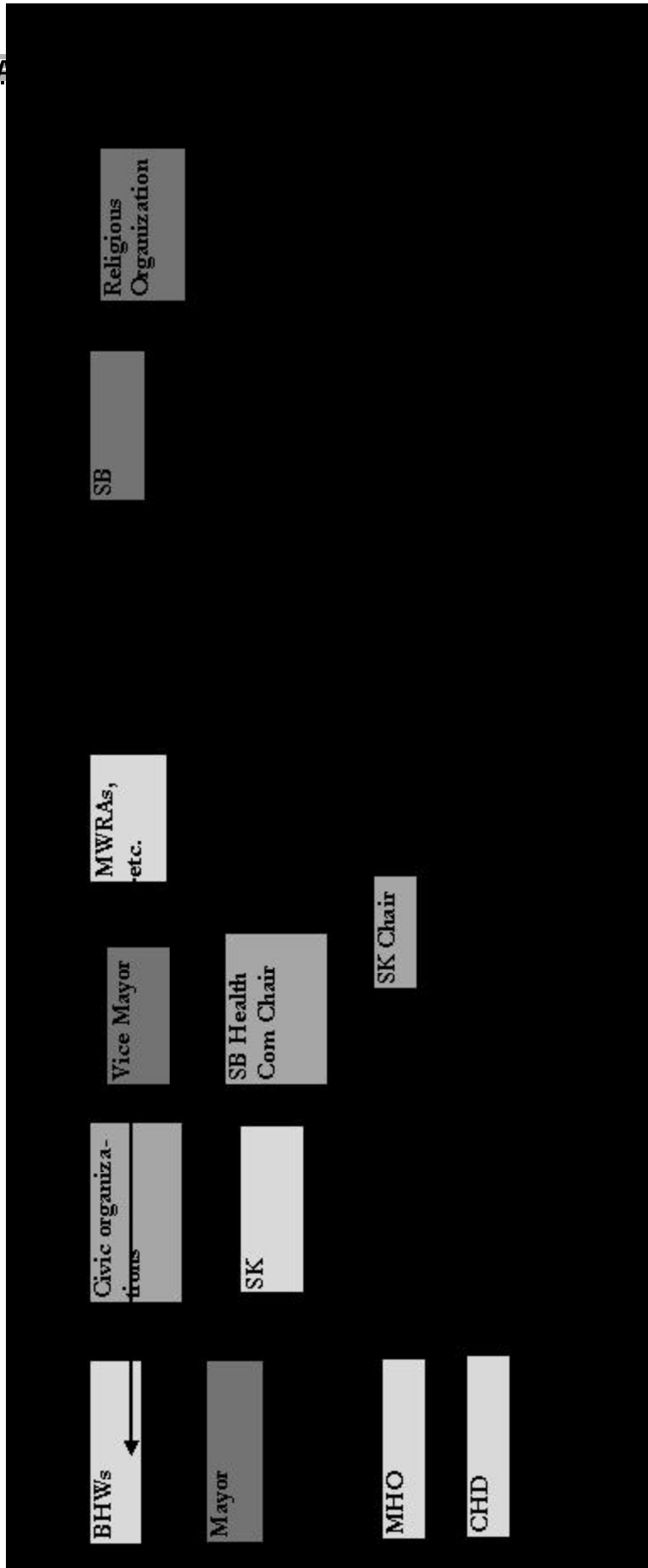
Box 3.6. Sample Observations and Analysis of the Political Map of Stakeholders on Contraceptive Plus Policy Concerns in the Municipality of <u>xxx</u>, Benguet

1. A key to making policy change on contraceptives is to move the unorganized MWRAs to a position of support and to empower their most articulate leaders and individuals to begin speaking on the issue and to project their strength as a significant voting block. Launching an education and information campaign will be very useful to mobilizing them.

2. Conduct person-to-person advocacy with the mayor with the view to firming up her support of the policy issue and elevating her to the status of policy champion. As a champion, she can then reach out to the vice mayor and forge a partnership, emphasizing the bi-partisan nature of the issue. She can also reach out to the religious organization making clear her position that as a government official, she has to do what she must to serve her constituents.

3. Conduct person-to-person advocacy with the Vice-Mayor, SB Committee on Health Chair and the SK President. Using their development orientation, they can be developed to become policy champions. As champions, they can start to conduct advocacy with their peers in the SB with the view to ensuring majority opinion in favor of the policy.

4. Organize a network of supporters to the policy issue to share the burden of responsibility for organizing the MWRAs and conduct information and education campaign, etc.

Form 3.3. Political Map of Stakeholders on Contraceptive Plus Policy Concerns in _____

(Geographical Coverage)

High Support	Medium Support	Low Support	Unmobilized	Low Opposition	Medium Opposition	High Opposition
			Observations and Analysis			

Conclude the discussion through the following statements:

The position and power map or political map is crucial in determining strategies and approaches for a) network building among those who already support the policy issue; b) educating and mobilizing the un-mobilized actors who otherwise should be supporting the issue; and c) educating and persuading those in the medium and low opposition to support advocacy or, otherwise, neutralizing them.

An overall strategy for increasing the number of supporters to the policy issue can be depicted by differently colored arrows indicating where they are intended to be moved over in terms of support as shown in the political map. It is recommended that observations and analysis of the map have to be written so that they can be used later in the network building and action planning stages.

Venn Diagram

00:40

Venn Diagrams are used to illustrate the nature of relationships between and among various stakeholders around a policy issue. Each circle represents a stakeholder who may be an individual or organization that may affect or stands to be affected by a policy

issue. The size of the circle shows the relative power or influence of the stakeholder over the issue, similar to the one used in political mapping.

The distance between the stakeholders represents the adequacy or intensity of their relationship with each other. This relationship cannot usually be inferred from the stakeholder analysis matrix nor from the political map. In drawing the diagram, it is necessary to adopt a perspective of analysis and the best would be that of the final beneficiaries or the ones that will stand to benefit the most from a successful advocacy. It will not be necessary to place the circle representing the final beneficiaries at the center of the diagram as shown in the example.

Present a sample Venn diagram (Figure 3.4) and the related observations and analysis (Box 3.7) based on the situations earlier shown. Ask the participants how they would interpret the diagram. How important is it in their policy setting? How would they use the diagram in other situations?

Divide the participants into their original workshop groups with instructions to accomplish their own Venn Diagram based on the situation of their respective geographical areas using the template provided for (Form 3.4). Ask them to use a large kraft paper for their drawings. They may also use cut-out color coded cards.

Below their respective outputs ask the workshop groups to write their observations and analysis with a particular eye on the strategies that can be obtained. Give 20 minutes for the workshop to accomplish the task and another 20 minutes for the group presentations and questions.

Figure 3.4. Sample Venn Diagram of Stakeholders on Contraceptive Plus Policy Concerns in the Municipality of xxx, Benguet
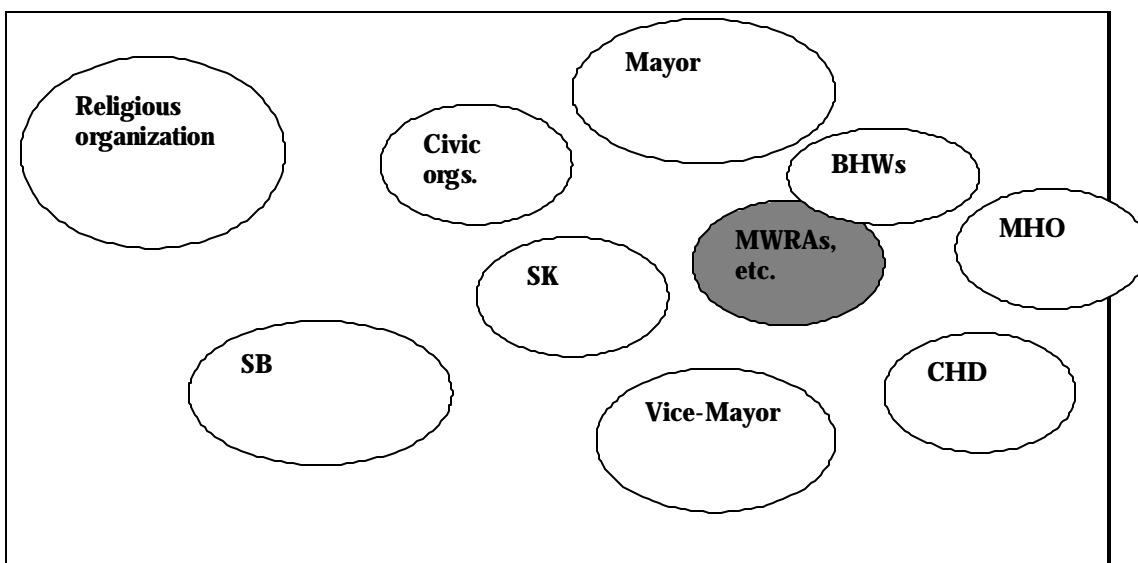
Box 3.7. Venn Diagram of Stakeholders on Contraceptive Plus Policy Concerns in the Municipality of <u>xxx</u>, Benguet

1. The religious organization is extremely remote, indicating potential conflict on the policy issue with the MWRAs, but very influential especially with its closeness to the civic organizations, the SB and the Mayor.

2. The BHWs may be seen as representing the interests of the MWRAs but because they are not organized, they have little power to influence the policy issue at present.

3. The Mayor, the Vice Mayor and the SK have maintained a respectable closeness to the MWRAs, being a significant voting block.

Form 3.4. Venn Diagram of Stakeholder Relationships on Contraceptive Plus Policy Concerns in

_____

(Geographical Coverage)

MWRAs, etc.

Observations and Analysis
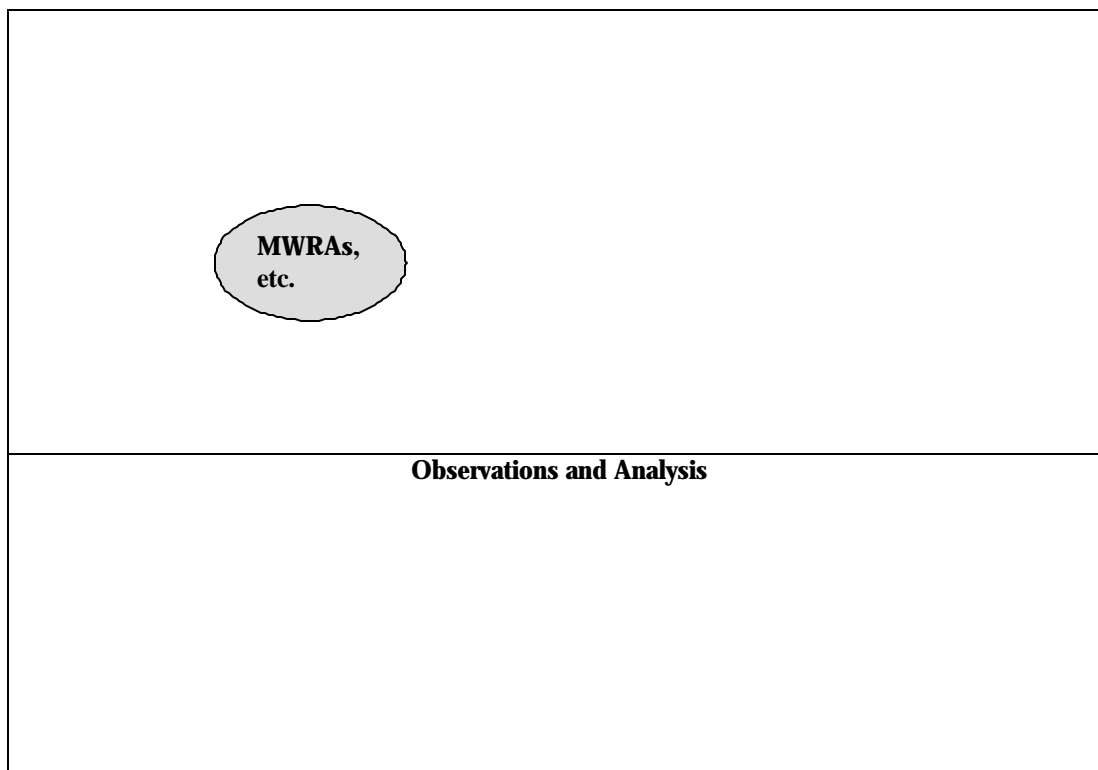
Conclude the discussion through the following statements:

Unlike a political map, Venn Diagrams are useful to present the adequacy and intensity of the relations between stakeholders. The farther the distance between the final beneficiaries and a stakeholder or between two stakeholders may indicate potential or existing conflict. It is best to analyze these relationships as they can provide ideas which relationships have to be established or strengthened. The perspective of analysis to be used should be that of the final beneficiaries.

S W O T   A n a l y s i s
01: 00

SWOT analysis is used to analyze the strengths and weaknesses (SW) of an organization or network and the opportunities and threats (OT) that it confronts in the course of facing a certain policy issue.

Ideally, the analysis of strengths and weaknesses is better applied to an existing policy advocacy organization (or an organization that has advocacy as one of its objectives) that has already been in operation for some time. It will be clarified in this Manual that since advocacy is dependent upon expansion through a network or networks of organizations, and there might not be any fully-developed advocacy organizations in certain areas especially in the remote places in the country, the strengths and weaknesses analysis will take the form of general analysis of an imaginary or potential network, even if there might be one or a few already existing organizations with a program on advocacy. Certainly, the general analysis will be a summary of the individual organizations' characteristics which can be inferred from the political map and other collected information.

In such an analysis, it is useful to have certain parameters that will help systematize collection of information. These can be arranged into the following categories: number and composition, services, capacity, gender representation, resources, and statuses of mission, strategy, structure, systems, staffing, management style, and culture. Analysis of actors external to the imaginary network is left to the analysis of opportunities and threats.

Analysis of opportunities and threats is best conducted by using a framework to classify the external factors that affect the policy issue. The framework, called PESTLE, stands for political, economic, social, technological, legal and environmental factors. Other factors may be considered such as supply and demand of services and linkages, competition and cooperation, to guide analysis of opportunities and threats.

The conduct of SWOT analysis does not stop when ideas to fill in the matrix as shown in the template (Figure 3.5) have been generated from the participants. Two

further steps, generally falling under Strategic Orientation (SOR), are necessary and these are the following:

1. Once the matrix has been developed, analyze the situation by finding the means by which the strengths can be used to overcome weaknesses and the means by which opportunities can be used to overcome the threats; and

2. Develop a strategy to improve the situation, in combination with other planning tools already discussed and yet to be discussed.

Present a sample SWOT Analysis Matrix (Box 3.8) based on the examples earlier shown. Ask the participants how they would interpret the SWOT matrix. How important is it in their policy setting? How would they use the matrix in other situations?

Divide the participants into their original workshop groups with instructions to accomplish their own SWOT Analysis Matrix based on the situation of their respective geographical areas using the template provided for (Form 3.5). Ask them to use a large kraft paper for their presentation.

Below the SWOT Matrix ask the workshop groups to write their Strategic Orientation. Give 20 minutes for the workshop to accomplish the task and another 20 minutes for the group presentations and questions.

Figure 3.5. Sample SWOT Matrix on Contraceptive Plus Policy Concerns in the Municipality of <u>xxx</u>, Benguet

Strengths (S)	Weaknesses (W)
1. Has a potentially large membership base with involvement from the poor and underserved 2. Some groups have financial resources 3. Includes policymakers who have the potential of becoming champions 4. Men and women are included	1. Limited skills in advocacy 2. Weak existing linkages among the various supportive organizations 3. No effort made yet to initiate a formal advocacy network
Opportunities (O)	**Threats (T)**
1. Growing concern among MWRAs to control their own fertility 2. Growing clamor among public officials to address the contraceptive phase-out issue 3. Deepening autonomy of local government units	1. Poverty driving poorest out of the contraceptive market 2. Inhospitable national policy environment 3. Inflexible budget allocation history

Box 3.8. Sample Strategic Orientation (SOR) on Contraceptive Plus Policy Concerns in the Municipality of <u>xxx</u>, Benguet

External Strategies
1. Addressing the growing concern among MWRAs to control their own fertility **(O1)** and the growing clamor among public officials to address the contraceptive phase-out issue **(O2)**, using a potentially large membership base with involvement from the poor and underserved **(S1)** and the support of some groups who have financial resources **(S2)**, paying attention to their limited skills in advocacy **(W1)**, the weak existing linkages among the various supportive organizations and the lack of effort made yet to initiate a formal advocacy network **(W3)**.

2. Addressing poverty which drives out the poor from the contraceptive market **(T1)**, using the support of some groups who have financial resources **(S2)**, paying attention to the weak existing linkages among the various supportive organizations **(W2)** and the lack of effort made yet to initiate a formal advocacy network **(W3)**.

Internal Strategies
1. Utilizing policymakers who have the potential of becoming champions **(S3)** for addressing the growing clamor among public officials to address the contraceptive phase-out issue **(O2)**, the inhospitable national policy environment **(T2)** and the frequently inflexible budget allocation processes at the LGU level **(T3)**.

2. Etcetera

Form 3.5. SWOT Matrix and Strategic Orientation on Contraceptive Plus Policy Concerns in _____

(Geographical Coverage)

Strengths (S)	Weaknesses (W)
Opportunities (O)	**Threats (T)**
Strategic Orientation (SOR)	

Conclude the discussion through the following statements:

SWOT analysis is used to analyze the strengths and weaknesses (SW) of an organization or network and the opportunities and threats (OT) that it confronts in the course of facing a certain policy issue. An analysis of the strengths and weaknesses may be derived by studying the number and composition, services, capacity, gender representation, resources, and statuses of mission, strategy, structure, systems, staffing, management style, and culture of those organizations that are potentially allied with each other.

Analysis of opportunities and threats is also called external analysis and is obtained by studying the political, economic, social, technological, legal and environmental factors as well supply and demand of services and competition and cooperation.

SWOT analysis is carried further to define the strategic orientation of the organization or network to help guide the formulation of its specific strategies.

Analysis of the Public Policy Environment

00: 40

One of the most critical steps in advocacy issue analysis is the analysis of the public policy environment itself. It is the main reason why the manual opened with an introduction about public policy in order to precisely orient the participants of its importance.

In its overall context, an examination of the public policy environment with regard to the issue of our concern involves leadership, decision-making, citizen participation, media/s role and the absence or presence of laws and regulations related to the issue. Having a positive policy environment will increase the feasibility for the advocacy of an issue.

Divide the participants into their original workshop groups. Ask them to assess and describe the policy environment with respect to the CSR + policy concerns in their respective localities by answering the questions in the template provided (Form 3.6) and rating the answer whether it is positive or negative to the policy issue. A rating of three pluses or three minuses means "high", two pluses or two minuses means "moderate" and one plus or minus means "low". In the total scores, there should be a preponderance of pluses or minuses to convincingly judge that the policy environment is either positive or negative. Ask each group to make a presentation and discussion of their work. What are their conclusions about their respective policy environments?

Form 3.6. Policy Environment Rating Matrix

Questions	Description	Rating
Who or what groups provide leadership? Describe.		
Who have control of decision-making? Describe.		
Where are decisions made? Describe.		
Are there alternative or informal leaders or centers of leadership and authority? Explain.		
Are there leaders who are or could be champions of CSR+ issues? Explain.		
Are there people who would be ready to use their leadership role on the policy issue and use their own organizational, financial and media resources as well? Explain.		
Are the people able to participate? Explain		
What are the channels of participation? Describe		
Is organized action encouraged? Explain.		
Are issues widely discussed? Explain.		
Are educating the people and disseminating information of value to policymakers? Explain.		
Do media play a role in educating the people? Explain. How valuable is its role in your locality? Describe.		
Are evidence and data valued by policymakers? Explain.		
Are existing policies related to CSR+ present? Explain.		
Is there openness for CSR+ policies? Explain.		
Is there openness to revise or adjust existing regulations such as budget allocation to support CSR+ policies? Explain.		
Are there forthcoming political events that will change the complexion of the CSR+ issue from negative to positive or vice versa (such as elections or changes in the political party affiliation)? Explain.		

—Adopted and modified from CARE.

Problem Analysis
02: 00

The flow of the workshops has made it possible to explore the whole dimension of policy issues and their details. It made possible to collect and organize the data and develop confidence to make an elaboration of the specific problems surrounding the identified policy issue that can be wholly or partly solved through advocacy. This phase of the process is called problem analysis.

Problem analysis is the most critical stage in policy advocacy planning as it provides firm footing to subsequent analysis. In problem analysis, the negative aspects of an existing situation, such as the identified policy issue on CSR +, are analyzed and their cause-effect relationships established through a visualization process. The analysis is then presented in a diagrammatic format, called Problem Tree to confirm and validate the overall dimension of the whole issue being dealt with.

A problem tree is ideally constructed as a participatory group event of a maximum of 25 participants. Being multidisciplinary, it can provide diversity in perspective for the analysis. The quality and depth of the finished product is determined by the type of participants involved in the event. The product itself provides a simplified version of reality.

It requires the use of idea cards or "metacards" of a uniform color where to write individual statements of the specific problems.

The role of a facilitator is crucial in guiding participants in forming their problem tree. The facilitator ensures that only the technical aspects are her/his concern and that no biases, even if s/he is knowledgeable of the issues, come in the process of problem analysis.

1
First, establish the rules by discussing your prepared template on a flipchart on how to formulate and write problems in idea cards (Box 3.9). Show an example of an idea card which follows such rules. Clarify questions.

Box 3.9. Rules to Write By in Problem Analysis

1. One idea, one card; if unavoidable, ideas must be closely knit

2. Express the problem in a "negative" state (such as "inadequate health services", "high number of maternal deaths", "poor health of children aged 1-5"), not absent solutions, for example, "no funds".

3. No full sentences; just phrases

4. Capture the essence; limit to the minimum number of words; include data

5. Limit to three lines; best if two

6. Write legibly and in big bold letters

7. The farthest person in the room should be able to read what you wrote

—Adopted and modified from EC and MDF.

2
Review the elaborate steps involved in facilitating the creation of a problem tree. Develop the confidence and smoothness in its execution, if you have had no earlier experience, by practicing the steps involved in creating a problem tree from an imaginary but familiar policy issue.

Discuss your finished product with the participants or use the model as shown in Figure 3.6. Discuss its various components, cause-effect relationships, connecting arrows and lines. Resist any suggestion to present a model problem tree from the policy issue that the participants are already working on.

Figure 3.6. Problem Tree Model: River Pollution
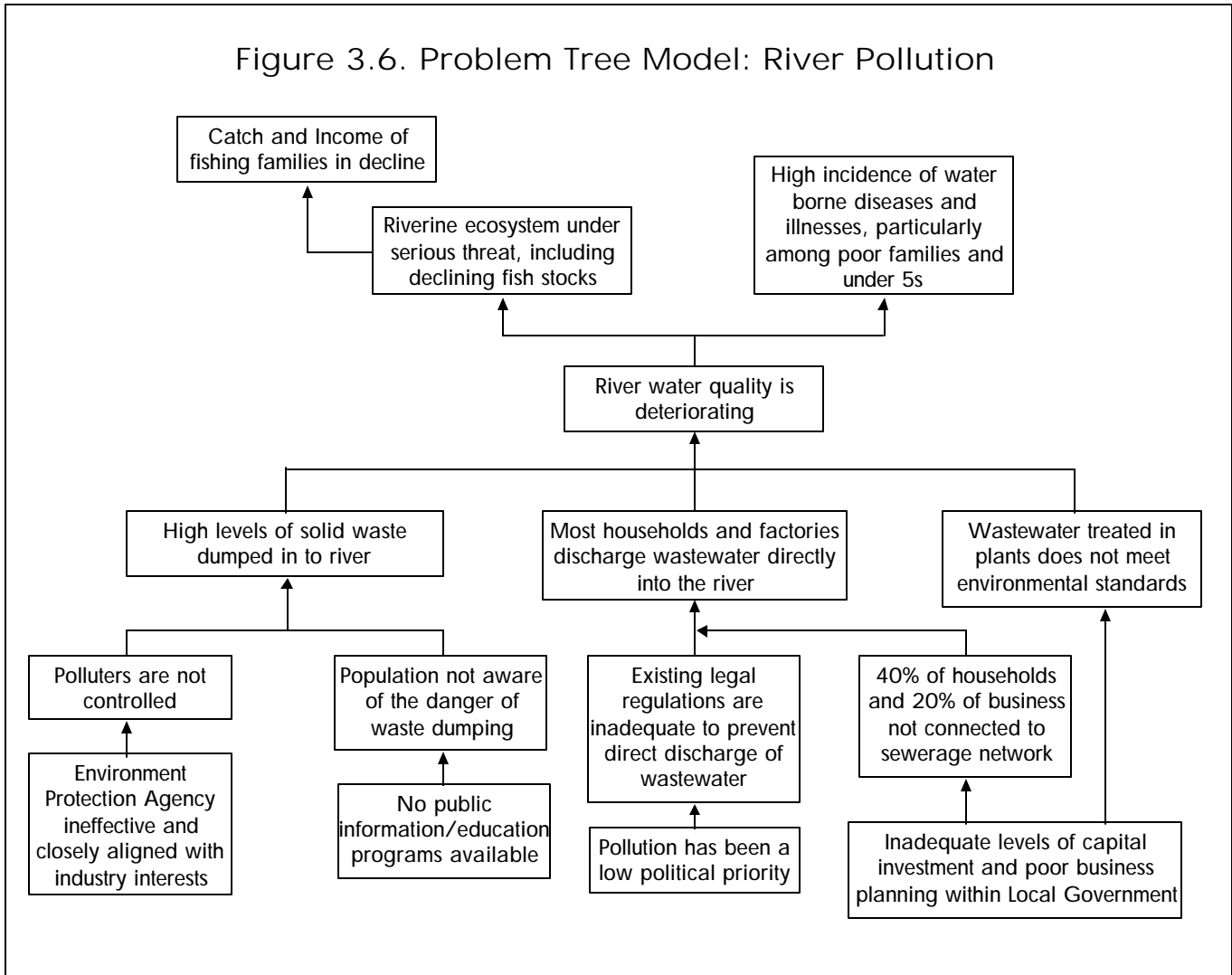
—Adopted from EC.

3
In plenary, facilitate the creation of the participants' problem tree around their selected policy issue. For purposes of this Manual, two sets of steps in creating a problem tree have been developed, one for the facilitators (Box 3.10) and one for the participants. (Box 3.11).

Box 3.10. Twenty Five Steps in Facilitating
a Workshop to Create a Problem Tree

Preparation

1. Prepare 80 pcs. of a colored cartolina at a size of 1/16 (colored bond paper may also be used); cut the same number for five more sets of differently colored cartolina papers; separate the color you will use for problem analysis

2. Prepare enough pentel pens (one per participant) for writing in the idea cards

3. Prepare enough masking tape to be used in pasting the card on kraft paper

4. Choose an area in the seminar house which has a firm surface and a high ceiling. Cover the area extending to the ceiling with kraft paper whose edges are pasted firmly together. Reserve the lower left hand space of the area as holding area for the idea cards

5. Ask the participants to pull their chairs and arrange these in rows in front of the seminar area so they can easily see what is displayed in front

Formulating the problems

6. Confirm with the participants their chosen field of analysis (CSR Plus Policy [with advocacy orientation] in the (municipality, province, region, or country).

7. Give each participant a same-colored card and a pentel pen

8. Give each participant two minutes to think through a specific problem that relates with their chosen field of analysis. Clarify that they may obtain this from the stakeholder analysis, SWOT analysis and the examples that have been given for as long that s/he believes that this is related with their field of analysis

9. Ask the participants to write their identified problem in their individual idea cards. Some of them may ask for more cards but try to limit the number of requests. (A preponderance of cards will make analysis too complicated and time-consuming).

10. Ask them to go to the holding area for the cards and paste their idea cards. Help the participants by arranging the cards in columns.

11. Process the cards with the group to check if there are cards with the same ideas or any card with two or more problems cited in it. Place cards with the same ideas on top of each other, taking care that no card is discarded. Return the card with two or more ideas to the group (unless

closely knit), without bothering to trace its author, asking for volunteers to break up the content of the idea card into as many idea cards.

12. Ensure that there is no debate on what any of the participants wrote into the person's idea card.

Creating the Problem Tree

13. Ask for any volunteer to choose a "starter card". Place the starter card at the center of the "Problem Tree" portion of the kraft paper

14. Ask for a volunteer to point to a next card among the set of cards that relates directly to the starter card either as a "cause" or an "effect". Place the card temporarily at the location where the volunteer asked you to place it (for example, below the starter card). Spend a moment for the group to think about the cause-effect logic between the two cards. Next move the card opposite the location where it was first placed (for example, above the starter card). Check if the group agrees or not. If not, return the card to its original location and paste the card.

15. Repeat the process for the additional cards by asking any volunteer to choose any card that relates directly with the cards already in place. It is always likely that more than one card will be placed directly as a "cause" or an "effect" of any reference card so that additional cards may be placed laterally below or above the one reference card or several reference cards.

16. Always check the logical arrangement of the cards by obtaining agreement from the group. Move any card to any location where the group feels it is more related to a certain new reference card.

17. Check symmetry by rearranging the lateral alignment of any level of "cause" or "effect" so that one or more cards directly relate with one of more cards below or above them.

18. Follow the same steps for all the remaining cards, ensuring that cause-effect relationships among the cards are validated by the group.

19. There may come a time when a card that is already in place may eventually be judged by the group as unfit in its existing location. If so, it can just simply be moved to another location where it "belongs". It is also possible that the association of one card to another card jumps by one more levels of cause or effect. It is just normal and it simply means that no intermediary causes or effects have yet been identified by the group in relation to that card. But when a card is found to have no place yet in any hierarchal cause and effect, it can be temporarily set aside than be agonized with for its proper location. When the problem tree is fully done and there is no location yet for the errant card, then it is finally discarded.

20. There may be occasion when the group is stalled with several more cards not being able to fit in the almost made tree even when there are indications that the remaining cards have some logical relationships with each other. In this situation, ask a volunteer to choose a new starter card to start a smaller tree. When finished, this smaller tree can be analyzed in relation to the larger tree to see where each other may connect. When there's no connection yet, wait for the next steps.

21. In most cases, there is only one big tree that results in problem analysis. It may appear "slim" with many levels extending from the floor to the ceiling. Or it may appear "bloated" branching out from side to side. In either case, brainstorm with the participants if they are satisfied with its structure of cause and effect, carefully pointing out that the logical relationships starts from the particular to the general, from the smaller to the larger problems, from the bottom to the top. Ask if they see other problems that they still want to include that anyone has not yet seen in the first round of writing ideas. Give out a few blank cards to be filled by volunteers but try to limit suggestions so that it does not become unwieldy. The group may find out that the new idea cards may fill some of the gaps in certain parts of the tree where connections "jump" without a connection between two levels. Or they may discover that these new problems are the connectors of the smaller tree/s to the larger tree. With that, a connection can then be made between the smaller tree and the big tree to obtain just one tree. When fine-tuning of the tree is through, check the logical arrangement anew.

22. Finish off the problem tree by drawing lines and arrows from the bottom to the next level that establishes the relationship between one or more "causes" to one or more "effects".

23. Help the participants decide which among the various problems stands out as their central problem. In selecting the central problem, they cannot go too high nor too low in the problem tree. Mark the central problem or replace it with a differently-colored idea card.

24. Ask the participants to number the cards by level so that if any falls it can be traced to its location. Ask for volunteers to copy the problem tree in a clean sheet of paper for recording purposes.

25. Set aside the tree in a prominent location within the room for future use.

—Adopted and modified from EC and MDF.

Box 3.11. Ten Steps in Creating a Problem Tree

Step 1
Define your field of analysis and geographical setting i.e. Policy issues concerning CSR+ in the municipality of xxx, Benguet. Use this as a guide in scoping your identified problems.

Step 2
With the use of idea card or metacards list down all the problems surrounding your field of analysis. Arrange them in columns or rows.

Step 3
Pick out any card as your starter card.

Step 4
Establish the cause-effect relationships by looking out for any of the cards that directly relate to your starter card using the guide question, "What is/are causing that?" and "What is/are its effects?" The problem/s that are directly causing the starter problem are placed below and the problem/s that are the direct effects of your starter problem are placed above the starter card.

Step 5
Use the same pattern to sort the remaining cards. If there are two more direct causes or effects, place the cards at the same level below or above your current reference card.

Step 6
Show the cause-effect relationships by connecting the cards with arrows from bottom to top.

Step 7
Review the diagram to verify its completeness. If there are "absent" problems, write them in additional cards and place them in their appropriate location in the problem tree.

Step 8
Analyze the problem tree and make a judgment of what is the central problem. Mark your central problem or replace it with a differently colored card.

Step 9
As you will still use your diagram, mark your cards by level and by number for easy tracing if any of the cards fall.

Step 10
Copy your problem tree in a sheet of paper for further review and for future brainstorming.

—Adopted and modified from EC and MDF.

A n a l y s i s   o f   O b j e c t i v e s
01:00

Analysis of objectives immediately follows problem analysis. It is a methodical approach used to describe a future situation once the identified problems have been solved. By creating an "objective tree' from the problem tree diagram, planners are able to establish a "means-ends" relationship and identify the hierarchy of objectives.

The negative situation as expressed in the problem tree is converted into a positive state or solution. For example, the problem "high number of maternal deaths" becomes "reduced number of maternal deaths" or simply "reduced maternal deaths". These statements are in fact statements of objectives as shown in the template (Figure 3.9).

Once completed, the "objective tree" helps out in the prioritization of objectives for policy advocacy, in assessing how realistic the objectives are, and in identifying other objectives whose mirror of the problems were not identified in problem analysis.

When finished, the objective tree provides a robust but simplified version of a possible future reality. Its strength lies in that it is a response to a clearly identified set of existing problems rather than a random, unsystematic way of setting objectives.

Again, a facilitator leads the participants in navigating through the process of creating an "objective tree".

#1

Show an example of an Objective Tree (Figure 3.7) which follows the Problem Tree example in Figure 3.6. Explain that after going through the rigor of problem analysis, it should now be a lot easier and quicker to go through the other processes in identifying objectives and the subsequent tools in the Logical Framework Approach. Clarify questions.

Figure 3.7. Objective Tree Model: River Pollution

```
Catch and Income of
fishing families is stabilized
or increased

          Threat to the riverine
          ecosystem is reduced, and
          fish stocks are increased

                                        Incidence of water borne
                                        diseases and illnesses is
                                        reduced, particularly
                                        among poor families and
                                        under 5s

                         River water quality is
                         improved

The quality of solid waste          No. of households and          Wastewater treatment
dumped in to river is reduced       factories discharge wastewater meets environmental
                                    directly into the river is reduced  standards

Polluters are          Population more      New legal regulations    Increased % of
effectively controlled aware of the danger  are established which     households and business
                       of waste dumping     are effective in          are connected to
                                            preventing direct         sewerage network
                                            discharge of wastewater

Environment                                 Pollution management    Increased      Improved business
Protection Agency is    Public information/ is given a higher        capital        planning within Local
effective and more      education programs  political priority       investment     Government is
responsive to a         established                                                 established, including
broad range of                                                                      cost recovery
stakeholder interest                                                                mechanisms
```

—Adopted from EC.

 # 2

In plenary, facilitate the creation of the participants' objective tree around their selected policy issue. Again, for purposes of this Manual, two sets of shorter steps in creating a problem tree have been developed, one for the facilitators (Box 3.12) and one for the participants (Box 3.13).

Box 3.12. Ten Steps in Facilitating
a Workshop to Create an Objective Tree

Preparation

1. Repeat the preparatory steps in Problem Analysis.

Creating the Objective Tree

2. Give each participant a same-colored card, but different from the card used in problem analysis, and a pentel pen

3. Remind the participants of the "Rules to Write By in Problem Analysis". These are the same rules that apply in objective analysis. The difference is that they will transform each of the problems into their "reached or future positive state". Illustrate one example from some of the problems in the Problem Tree.

4. To hasten the process, assign each participant a particular problem to write into an objective.

5. Ask them to go in front and paste their idea cards on top of the problem assigned to each one of them, effectively hiding the problems.

6. When through, ask the participants if they are satisfied with how the objectives were crafted. Ask them to make suggestions to correct erroneously written cards. Make your own corrections.

7. Brainstorm with the participants if they are satisfied with its structure of means and ends and the hierarchy of objectives. Ask if they see other objectives that they want to include that anyone has not thought of in problem analysis.

8. Validate with the participants if the central problem they have identified when converted into a positive state can stand as the new central objective.

9. Ask the participants to number the cards by level so that if any falls it can be traced to its location. Ask for volunteers to copy the objective tree in a clean sheet of paper for recording purposes.

10. Do not remove the Objective Tree from its location as it will be used in the next stage.

—Adopted and modified from EC and MDF.

Box 3.13. Six Steps in Creating an Objective Tree

Step 1
With the use of differently colored idea cards, reformulate all the problems in the problem tree in their "reached positive state". Do not be too mechanical and check for desirability and achievability of the objectives. Make corrections if necessary.

Step 2
Analyze the logical arrangement and the means-ends relationships in the array of objectives. Check the whole structure of the diagram.

Step 3
Add objectives that you want to include whose equivalent problems were not considered during problem analysis. Delete objectives that are not suitable to the whole design.

Step 4
Verify your central objective.

Step 5
As you will still use your diagram, mark your cards by level and by number for easy tracing if any of the cards fall.

Step 6
Copy your objective tree in a sheet of paper for further review and for future brainstorming.

—Adopted and modified from EC and MDF.

Analysis of Alternatives and Options: Strategy Development

01:00

This stage of the advocacy issue analysis phase deals with careful consideration of the various alternatives and options for the different ways of addressing a policy issue. It is at once the most challenging and difficult part of advocacy issue analysis because it involves synthesizing the information, evidence and previous analysis that the advocacy planner already has, predicting the consequences and outcomes of each alternative, and ultimately choosing the best alternative, what can now be called as the implementation strategy, to pursue for detailed planning.

But having gone through issue identification, stakeholder analysis, public policy environment analysis, problem analysis and objective analysis — all providing a veritable source of information and data -- these processes can now be seen as a systematic guide to improve judgment and systematize advocacy planning. This constitutes the scientific part of analysis.

The part that deals with art is that advocacy planners must always maintain an open mind because politics involves compromises in the midst of uncertainty. Stakeholder interests and conflicting demands have to be managed, and balanced, so that the final beneficiaries benefit more from any resulting action.

The main material that can be used for this exercise is the Objective Tree just finished, with the results of previous exercises as background materials. The objectives will once more need to be examined and scrutinized to determine the likely magnitude and scope of the advocacy undertaking.

1

Invite the participants to give attention to the Objective Tree. Let them notice that each objective constitutes an intervention and these interventions have a hierarchy. Each objective may also belong to a certain cluster of related objectives which in itself may be construed as a strategy for intervention. Ask the participants what they would normally ask themselves when confronted with a preponderance of objectives to formulate a strategy. List these questions on a flipchart. Unveil a template of Questions to Ask on Deciding on Advocacy Intervention Options and Alternatives (Box 3.14) and discuss together with their contributed ideas.

Box 3.14. Questions to Ask in Deciding
on Advocacy Intervention Options and Alternatives

- What are the various problems and objectives that may naturally be clustered, as they are more closely linked together, and be formed as an intervention? What two or more clusters can be formed into one big cluster for an intervention if a bigger scale is desired?

- Should all the problems and objectives be covered in an intervention, or just a few of the clusters? Which intervention/s would most likely bring about the desired results and be sustainable?

- Which opportunities (from the SWOT analysis and the policy environment analysis) can be used to promote the intervention?

- Who would now become the final beneficiaries (from the stakeholder analysis matrix, political map and Venn diagram and policy environment analysis)?

- Who would now become your most reliable partners, allies and networks? Who would be the target groups you would entice through education and information and related activities (from the stakeholder analysis matrix, political map and Venn diagram) to abandon their existing position of being un-mobilized, or of being in low opposition or low support to become solid advocates of the advocacy issue?

- How will ownership be established? How can the internal capacity of the final beneficiaries and of the advocacy network be strengthened?

- What is the budget requirement of the various options? What is the most cost-effective option?

- What is the potential harm of the different options to the environment? How can it be avoided or mitigated?

—Adopted and modified from EC.

2
Discuss the three templates showing various project alternatives (Figures 3.8, 3.9 and 3.10) adopted and modified from an example in the Local Legislators' Toolkit. Resist any temptation to use as example any of the workshop groups objective trees as an example in the formulation of alternatives. Discuss the Criteria to Use in Assessing the Merits of an Option for Policy Advocacy (Box 3.15).

Figure 3.8. All the Objectives Comprising One Alternative
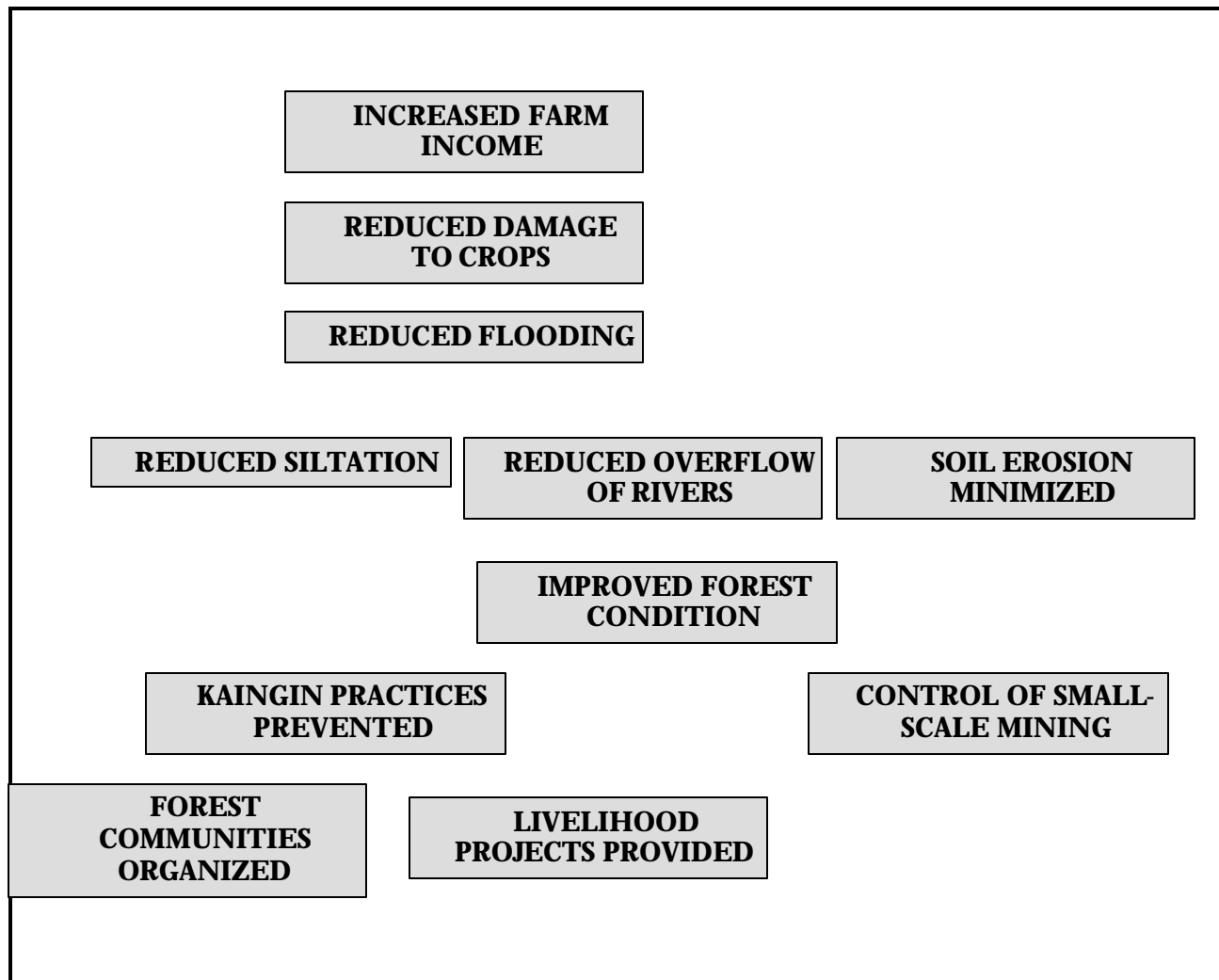
—Adopted from LGSP, The Local Legislators' Toolkit.

Figure 3.9. The Green-Shaded Cluster Forming a Different Alternative

INCREASED FARM
INCOME

REDUCED DAMAGE
TO CROPS

REDUCED FLOODING

REDUCED SILTATION   REDUCED OVERFLOW
OF RIVERS   SOIL EROSION
MINIMIZED

IMPROVED FOREST
CONDITION

KAINGIN PRACTICES
PREVENTED   CONTROL OF SMALL-
SCALE MINING

FOREST
COMMUNITIES
ORGANIZED   LIVELIHOOD
PROJECTS PROVIDED
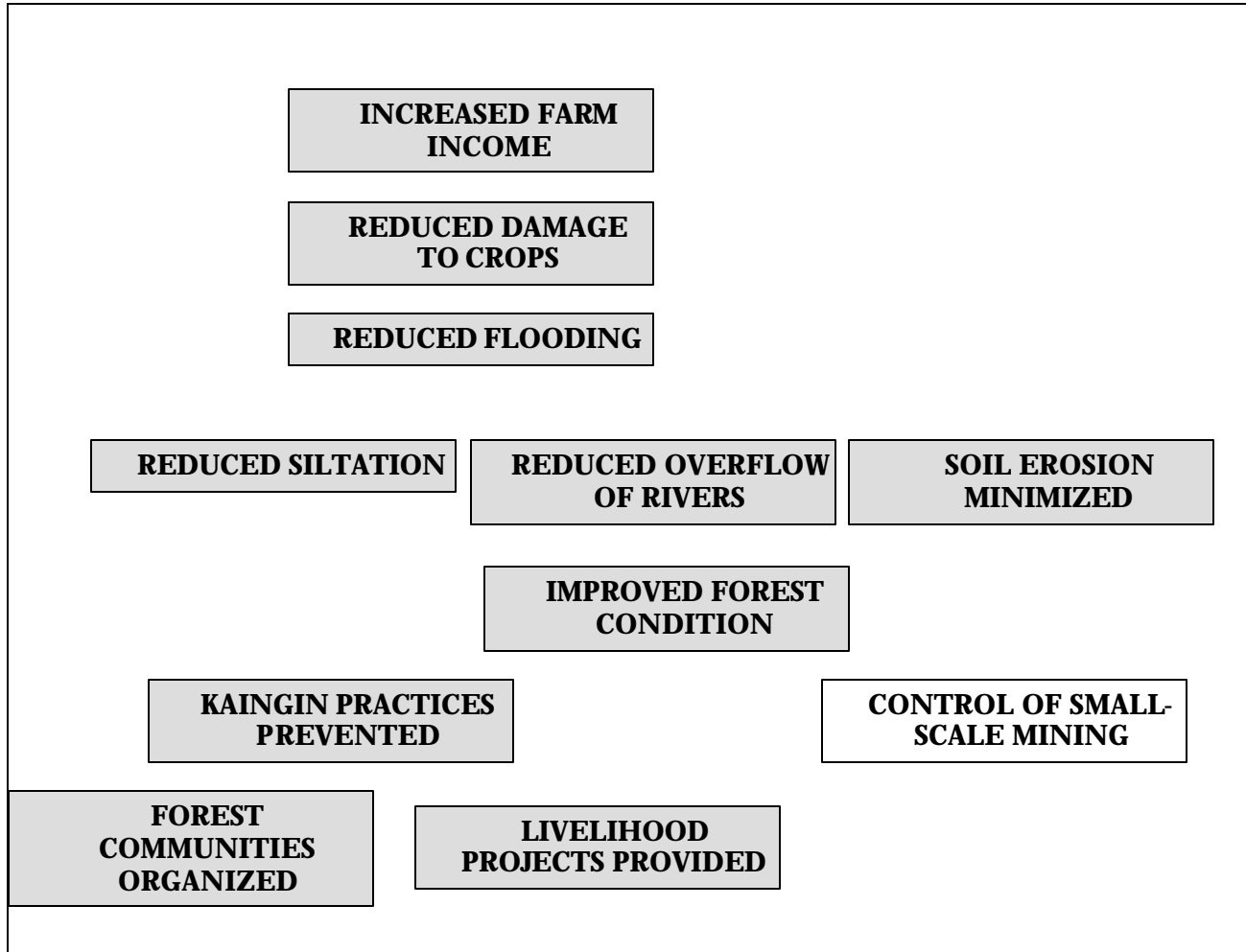
Figure 3.10. The Gold-Shaded Cluster Comprising One Alternative

INCREASED FARM
INCOME

REDUCED DAMAGE
TO CROPS

REDUCED FLOODING

REDUCED SILTATION   REDUCED OVERFLOW
OF RIVERS   SOIL EROSION
MINIMIZED

IMPROVED FOREST
CONDITION

KAINGIN PRACTICES
PREVENTED   CONTROL OF SMALL-
SCALE MINING

FOREST
COMMUNITIES
ORGANIZED   LIVELIHOOD
PROJECTS PROVIDED
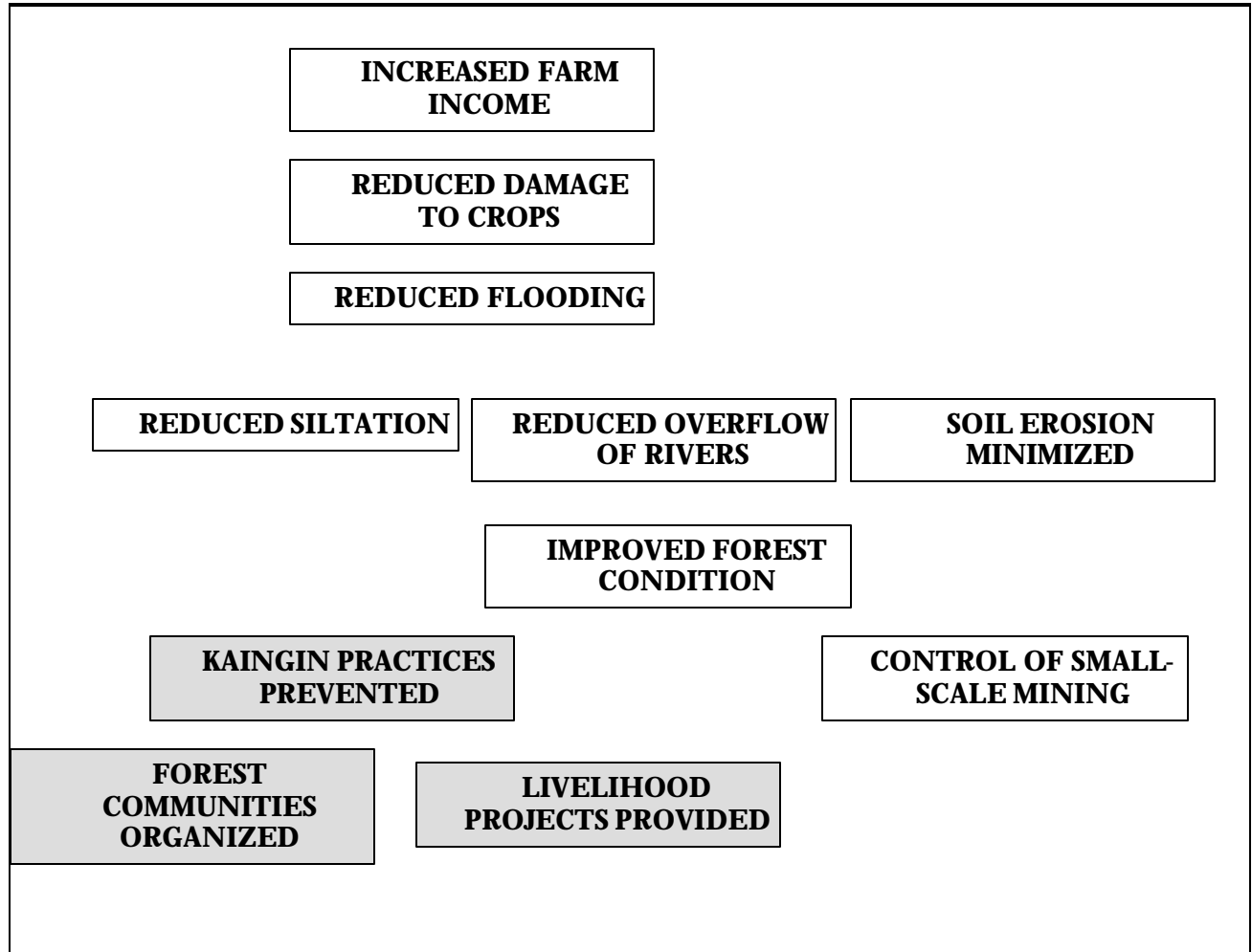
—Adopted from LGSP.

**Box 3.15. Criteria to Use in Assessing the Merits
of an Option for Policy Advocacy**

- Contribution to the realization of the overall objective/s such as can be found in the topmost level/s of the objective tree

- Positive and negative consequences and outcomes

- Possible unintended results

- Benefits to final beneficiaries and other target groups (that may include policymakers, champions and members of the advocacy network) including vulnerable groups such as women, children, elderly, disabled, etc.

- Positive and negative relationship with other ongoing advocacy programs, projects and activities

- Budget implications and capacity to raise resources

- Cost-benefit

- Management capacity and contribution to internal capacity building

- Technical feasibility

- Impact on the environment

—Adopted and modified from EC.

 # 3
Ask the participants to scope their Objective Tree and delineate the various alternatives by drawing circles using differently-colored pentel pens. Ask them to rank their alternatives. Refering to the participants' number one alternative, ask if they have seen some objectives from the other clusters that they want to include in their chosen alternative without being unwieldy? Are there objectives that they want to include that have not been identified before? Mark the number 1 alternative and ask volunteers to copy it on a clean sheet of paper for further work in the succeeding workshops.

Conclude the discussion through the following statements:

In short, what is taking place at this stage is also establishing the feasibility of each of the possible options and alternatives for intervention and controlling for the likelihood of success (or of failure). Here, the strengths weaknesses and the likely consequences and outcomes of the various options are more carefully weighed in order that a better advocacy strategy is arrived at.

PART II
PREPARATORY MECHANISMS AND MEASURES: THE INTERMEDIATE STEPS

BACKGROUND NOTES TO PART 2

Unlike other analysis and planning activities where action planning immediately proceeds after analysis, it is hugely important in policy advocacy that certain intermediate steps be conducted next. It refers to three major advocacy elements that include a) networking, and partnership development; b) message development and communication; and c) policy research and on-going data collection. Providing emphasis on these three elements is vital as they greatly influence the success or failure of any advocacy.

It may be argued that aspects of these three elements happen in every step of the advocacy process. Indeed, it is so. First, it is rare that an organization makes plans alone for advocacy of any issue without having any previous discussions, even if informally, with other units or groups, because it is from the very start necessary to have a sense of how much support that organization may obtain from others. It will have been necessary to be as inclusive as possible in the planning of the advocacy initiative and discussions will have been conducted among these groups before action planning is started. Second, it will have been necessary for that organization to have an initial understanding of the issue that it wants to advocate. Enough data will have been collected so that discussion is grounded well enough on historical and the current situation. Third, the initiating organization will have done its duty to package the information into appropriate messages to "sell" the advocacy issue.

Therefore, these three elements (in addition to monitoring and evaluation) are continuous stages, and therefore iterative, with constant changes in their dimension, magnitude and quality throughout the advocacy process.

Objectives

After going through the module the participants will have:

1. Increased their knowledge and understanding of networking and partnership development as one of the most import components of advocacy;

2. Gained new concepts in relation to the development, conduct of leadership, management and maintenance of effective networks and partnerships; and

3. Obtained skills in network and partnership development planning and partnership resource mapping.

Chapter 4
NETWORKING AND PARTNERSHIP DEVELOPMENT

Background Notes

Advocacy is a numbers game. For advocates, building a relationship with people and groups of people is almost an automatic exercise to convince policymakers that there is a constituency and broad support for the policy issue that they would like to bring to their attention. A constituency is a mass of people, often the final beneficiaries, target groups and participants of a policy advocacy issue, which an advocacy organization represents and is accountable for and from whom it draws political support.

There is enormous work in advocacy. Any group may not be able to undertake the tasks alone if it does not share the burden with other people and groups that may also have interest in or who stand to benefit from the policy. The final beneficiaries who stand to gain the most from the success of policy advocacy need also to be involved in bringing about policy change. It brings them ownership of the issue and empowers them in the process.

Networking and developing partnerships are two of the means to ensure success in advocacy. It means developing short-term or long-term relationships of trust, confidence and working together on a policy issue among various groups of people with diverse backgrounds, aims, interests and situations in life. Often, it is the most challenging part of advocacy because members will have to deal with each other most of the time. It is also most rewarding when obstacles to maintaining the relationship are overcome.

Networks and partnerships ensure that a widespread cooperation and collaboration will bring together policy advocacy initiatives that are comprehensive, imaginative, integrated and participatory. If advocacy work is done separately, there will be a lot of waste and duplication of resources, and the power of numbers will be reduced substantially. It provides greater opportunity for conducting advocacy better, strengthened by the qualities and competencies of those who are working together.

<u>D e f i n i n g   N e t w o r k s   a n d   P a r t n e r s h i p s</u>
00: 15

Ask the participants how many of them already have the experience joining networks or partnerships. Pick out three of them to narrate their experience. List on flipchart some of the salient points that they raise. Underline words that help define networks and partnerships. Summarize some of the lessons obtained from the sharing of experience. Discuss the definition of the terms as they appear in (Box 4.1).

Box 4.1. Definition of Networks and Partnerships

A **network** as used in this Manual consists of organizations, groups and/or individuals who are willing to assist each other and collaborate in the advocacy of a policy issue. It is often temporary and is disbanded after the success or failure of the advocacy initiative. The lowest form of a network is that which is banded together in a communication relationship.

A **partnership** is the coming together in a formal way of various organizations, groups and/or individuals to cooperate and collaborate in the advocacy of a policy issue, a set of policy issues or a policy agenda governed by the principles of equity, transparency and mutual benefit. These groups may sometimes call themselves coalitions, alliances, formal networks or partnerships. Partnerships often have a longer life, and therefore more strategic, than the more informal network They may evolve first from single-issue, experimental association, to the more formal, structured organizations. In this manual, "partnership" is chosen as it evokes a lasting relationship of working together. In its broader meaning, partnership means cross-sectoral collaboration among the government, business and civil society, which in the context of CSR + is extremely necessary.

Advantages and Disadvantages in Networking and Partnership Development

00: 20

It has been stated in more general terms that there is a great value and there are many advantages in networking and developing partnerships for an advocacy issue. But there are also disadvantages. The specific advantages and disadvantages should be carefully weighed and considered by any advocacy group before it embarks on a path towards networking and partnership development.

On a flipchart, draw a line to divide it into two columns. On one column write "Advantages" and "Disadvantages" on the other column. Elicit from the participants their views about the advantages and disadvantages in working together through a network or partnership and list them in the appropriate column. Unveil the template on the advantages and disadvantages of working in a network or partnership (Box 4.2). Include in the discussion the contribution of the participants.

.... Chapter 4

81

Box 4.2. Advantages and Disadvantages of Working Through Networks and Partnerships

Advantages	Disadvantages

Advantages

- Enlarges your base of support; you can win together what you cannot win alone.

- Provides safety for advocacy efforts and protection for members who may not be able to take action alone.

- Magnifies existing resources by pooling them together and by delegating work to others in the coalition.

- Increases financial and programmatic resources for an advocacy campaign.

- Enhances the credibility and influence of an advocacy campaign, as well as that of individual coalition members.

- Helps develop new leadership.

- Assists in individual and organizational networking.

- Broadens the scope of your work.

Disadvantages

- Distracts you from other work; can take too much time away from regular organizational tasks.

- May require you to compromise your position on issues or tactics.

- May require you to give in to more powerful organizations. Power is not always distributed equally among coalition members; larger or richer organizations can have more say in decisions.

- You may not always get credit for your work. Sometimes the coalition as a whole gets recognition rather than individual members. Well-run coalitions should strive to highlight their members as ofthen as possible.

- If the coalition process breaks down it can harm everyone's advocacy by damaging members' credibility.

—Adopted from AED/SARA, Introduction to Advocacy

<u>N e t w o r k i n g   a n d   P a r t n e r s h i p   P r i n c i p l e s   a n d   V a l u e s</u>

00:15

In agreeing to a common goal, networks and partnerships set out to exert effort and develop commitment from all its members. But often, members of the network or partnership look for certain aspects in the practice and relationship building process of these organizations that although they are unspoken, matter most in holding the groups together. Networks and partnerships need to elevate three very important aspects of these into principles to ensure success. These are equity, transparency and mutual benefit.

Give each participant an idea card. Explain that when an organization enters a network or partnership relation there are certain principles that it wants the network or partnership to uphold. Ask the participants to write in the idea car the one most sacred principle or value that that they would like a network or partnership to hold highest. Unveil the template containing the "Three Key Networking and Partnership Principles" (Box 4.3) and include it in the discussion.

Box 4.3. Three Key Networking
and Partnership Development Principles

Equity

How does equity play a role in a network and partnership relation when instantly you will find a wide divergence among its prospective members in terms of interests, power, influence and resources? Equity means an equal right to decide ("to be at the table", so to speak) and be recognized for the contributions that an organization imparts to the network or partnership that are not just measured by the amount of cash or role in the advocacy initiative. Equity is not the same as equality.

Transparency

The word "transparency" includes honesty and openness as its most important ingredients and is vital to the success of any network or partnership. These are the necessary pre-conditions in building trust and confidence among its members. Transparency presupposes responsibility and accountability to members, as well as to the final beneficiaries, target groups and other stakeholders.

Mutual Benefit

Why do organizations come together in the first place? It is to optimize in a network or partnership what it could not do if acting alone. Therefore, what an organization brings and contributes to the network or partnership it most certainly expects to have an entitlement to its benefits. Aside from realizing success for the common goals that will be beneficial to all members of the network or partnership it must also create the condition to bring specific benefits to every one of its members. In this way, continuing commitment is developed among the members and makes the network or partnership sustainable.

Obstacles to Developing Networks and Partnerships

00: 10

Even if the advantages in working in networks and partnerships far outweigh the disadvantages, there are still many obstacles that stand in the way which explains why some organizations hesitate from entering into such relationships. Usually obstacles happen because there are many external and internal factors that are beyond the control of networks and partners.

Elicit ideas from the participants some manifestations of obstacles to successful network and partnership development. What are the concrete expressions of these? Where can they be found? Discuss the possible sources of these obstacles and cite some examples as shown in the template (Figure 4.1).

Figure 4.1. Obstacles to Networking and Partnership and Development

Sources of Obstacles	Examples
The general public	Skepticism
	Rigid/preconceived attitude against certain sectors or partners (such as politicians, etc.)
	Inflated expectations of what is possible or what is going to happen
Actual or perceived negative sectoral characteristics	Public sector: Bureaucratic and intransigent
	Business sector: single-minded and competitive
	Civil society: combative and territorial
Personal limitations of individuals leading the network or partnership	Inadequate networking and partnership development skills
	Restricted internal and external authority
	Too narrowly focused role/job
	Lack of belief in the effectiveness of networks and partners
Organizational limitations of partner organizations	Conflicting priorities
	Competitiveness
	Intolerance within and across sectors
Wider external constraints	Local social, economic and political climate
	Scale of challenges/speed of change
	Inability to access external resources

—Modified from Ros Tennyson, Partnering Toolbook

.... Chapter 4

85

Network and Partnership Development Process

01:00

As in any development process, it is necessary to be systematic in approach to network and partnership development. It follows a certain pathway that must be followed to limit the risks and enhance the feasibility of success.

Prepare 3 sets of idea cards numbering 24 cards per set. It is preferable if the names of the 12 networking and partnership phases have a color different from their descriptions. Rearrange the steps. Divide the participants into 3 groups and give each group one set of cards. Give the instruction that they will arrange the idea cards into their sequential arrangement and match the title with their description. Give them 15 minutes for the workshop and 15 minutes per presentation. After the presentations unveil the template of the "Phases in Network and Partnership Development" (Figure 4.2) and discuss where the groups can find similarities and differences in approach. Explain to the participants that as in advocacy, networking or partnership development is very dynamic and iterative.

Figure 4.2. Phases in Network and Partnership Development

1 SCOPING
Understanding the challenge; gathering information; consulting with stakeholders and with potential external resource providers; building a vision of / for the partnership

2 IDENTIFYING
Identifying potential partners and - if suitable - securing their involvement; motivating them and encouraging them to work together

3 BUILDING
Partners build their working relationship through agreeing the goals, objectives and core principles that will underpin their partnership

4 PLANNING
Partners plan programme of activities and begin to outline a coherent project

5 MANAGING
Partners explore structure and management of their partnership medium to long term

6 RESOURCING
Partners (and other supporters) identify and mobilize cash and non-cash resources

7 IMPLEMENTING
Once resources are in place and projects details agreed, the implementation process starts - working to a pre-agreed timetable and (ideally) to specific deliverables

8 MEASURING
Measuring and reporting on impact and effectiveness - outputs and outcomes. Is the partnership achieving its goals?

9 REVIEWING
Reviewing the partnership: what is the impact of the partnership on partner organizations? Is it time for some partners to leave and / or new partners to join?

10 REVISING
Revising the partnership, programme(s) or project(s) in the light of experience

11 INSTITUTIONALISING
Building appropriate structures and mechanisms for the partnership to ensure longer-term commitment and continuity

12 SUSTAINING OR TERMINATING
Building sustainability or agreeing an appropriate conclusion

—Adopted from Ros Tennyson.

Risks and Rewards of Developing Network and Partnership Relations

00: 20

Two of the questions that organizations must ask when they enter into network and partnership relations are the potential risks and rewards that await them for such effort. Indeed, each organization needs to assess the risks and rewards that may arise from such initiative so that it can fully commit to genuine collaboration and the principle of mutual benefit.

But one has to think that the risks apply not only to one's own organization but equally to all the members of the network or partnership. Those potential network members and partners should be able to immediately assess the risks involved in order that they may be able to address this issue in their planning.

As well as the risks, potential network members and partners should be aware of the many rewards that obtain from the relationship, which in the end far outweigh the risks.

On a flipchart, draw a line to divide it into two columns. On one column write "Risks" and "Rewards" on the other column. Elicit from the participants their views about the risks and rewards of working in a network or partnership and list them in the appropriate column. After the discussion, unveil the template on the advantages and disadvantages of working in a network or partnership (Box 4.4). Include in the discussion the contribution of the participants.

Box 4.4. Risks and Rewards of Developing Network and Partnership Relations

· **Risks**

Impact on reputation – Institutions and organizations value their reputation and will be justly concerned whether it will be damaged by the fact of the relationship alone or by any possible repercussions in the future if the relationship fails.

Loss of independence and autonomy– As an organization commits to work in a larger organizational form, it will give up some of its independence and autonomy.

Conflicts of interest – It can give rise to conflicting loyalties as well as to being pressured to uncomfortable compromises at both the strategic and operational levels.

Resource drain– It requires heavy investments in attention, time and other resources in advance of any future benefit.

Implementation challenges – When implementation of programs, projects and activities start, new challenges will be met in working together.

· **Rewards**

Professional development of key personnel – As ideas and technical expertise become diverse, the network and partnership will be a virtual minefield for the professional development of the key staff of the participating organizations.

Better access to information and different networks – Other organizations in the network or partnership will be able to provide information and other networks that heretofore are not available if acting alone.

Greater 'reach' – The fact of the coming together of organizations alone immediately expands the influence of each of the members of the network or partnership.

Improved operational efficiency – With many people and organizations working together, too much duplication in activities is avoided.

More appropriate and effective products and services – Division of responsibilities and tasks is better planned and implemented resulting in good quality outputs.

Greater innovation – Diversity in ideas and experience promotes experimentation and discovery of new things and leads to innovation.

Enhanced credibility– Better leadership and management, a bigger constituency and more visibility — all lead to better credibility.

Increased access to resources – the track record, experience and quality of members of a network or partnership make a potential donor to take a second look before it rejects a funding application.

—Adopted and modified from Ros Tennyson.

Resource Mapping
00: 30

Before, and on a continuing basis after, the establishment of a network or partnership it is necessary that members conduct a mapping of what resources, both cash and non-cash,   they will bring into the relationship so that it could function well enough in the fulfillment of its mission. Non-cash resource may constitute human, technical and knowledge resources.

The importance of identifying and mobilizing these resources can not be overemphasized. Apart from providing the inputs to support the activities of the network or partnership, it can also convince donors and other stakeholders who are not yet part of the organization to provide funding and other types of support. A meeting or a series of meetings can be arranged so that the network or partnership can fully identify the type and amount of resources that each of the members will contribute.

Resource mapping can typically be done through a workshop using idea cards. The participants are asked to think through all the cash and non-cash resources that they can contribute to the network or partnership and each one of these is written in a card together with the identity of the organization. The detail at which resource mapping can accomplish may include the quantity, regularity and the timing that each of the contributions can be made. The cards are then clustered and grouped and headings made to classify the resources. The other option is to have the headings ready where the participants can just paste their contribution underneath as the example (Figure 4.3) shows.

Explain to the participants the sample resource map (Figure4.3) clearly identifying the headings and the classification in each circle. Ask the participants to think of themselves as belonging to organizations that are ready to enter into network or partnership relations. Make an inventory of organizations that are represented in the workshop and opposite each name write its abbreviation. Distribute idea cards. Using the template (Figure 4.4) containing the headings of the sample resource map, with blank circles remaining to provide room for other types of resources, engage the participants in a plenary workshop on resource mapping for CSR Policy Advocacy. Aside from the identified resource, each idea card has to contain the abbreviated name of the contributing organization. Conclude and summarize the discussion.

Figure 4.3. Sample Resource Map

Capture of information
• Statistics/Legal framework
• Market analysis/Forecasting
• Local knowledge/Social conditions

People
• Technical staff
• Attached personnel
• Volunteers
• Students/Interns
• Administrative support

Accommodation for
• Partnership / Project Office
• Meetings / Workshops
• High profile events
• Storage
• Project activities
• Public information point

WHAT CAN EACH ORGANIZATION BRING TO THE NETWORK OR PARTNERSHIP?

Relationship with
• Donors
• Policy makers
• Suppliers/Labour organisations
• Religious institutions
• Community groups
• Umbrella organisations

Products
(depending on mission focus and programs of each organization)

Expertise
• Technical experts
• Project development
• Training/capacity-building
• Management
• Marketing
• Facilitation
• Convening

Other
• Transport
• Equipment
• Furniture
• Project development
• Training/capacity-building
• Management
• Marketing
• Facilitation

Information dissemination
• Electronic communications systems
• Word of mouth
• Published materials
• Networks

—Adopted and modified from Ros Tennyson.

Figure 4.4. Resource Map for CSR Policy Advocacy
in _____
(Geographical Location)

Capture of information

People

Accommodation for

Relationship with

WHAT CAN EACH ORGANIZA-TION BRING TO THE NETWORK OR PARTNER-SHIP?

Products

Expertise

Other

Information dissemination
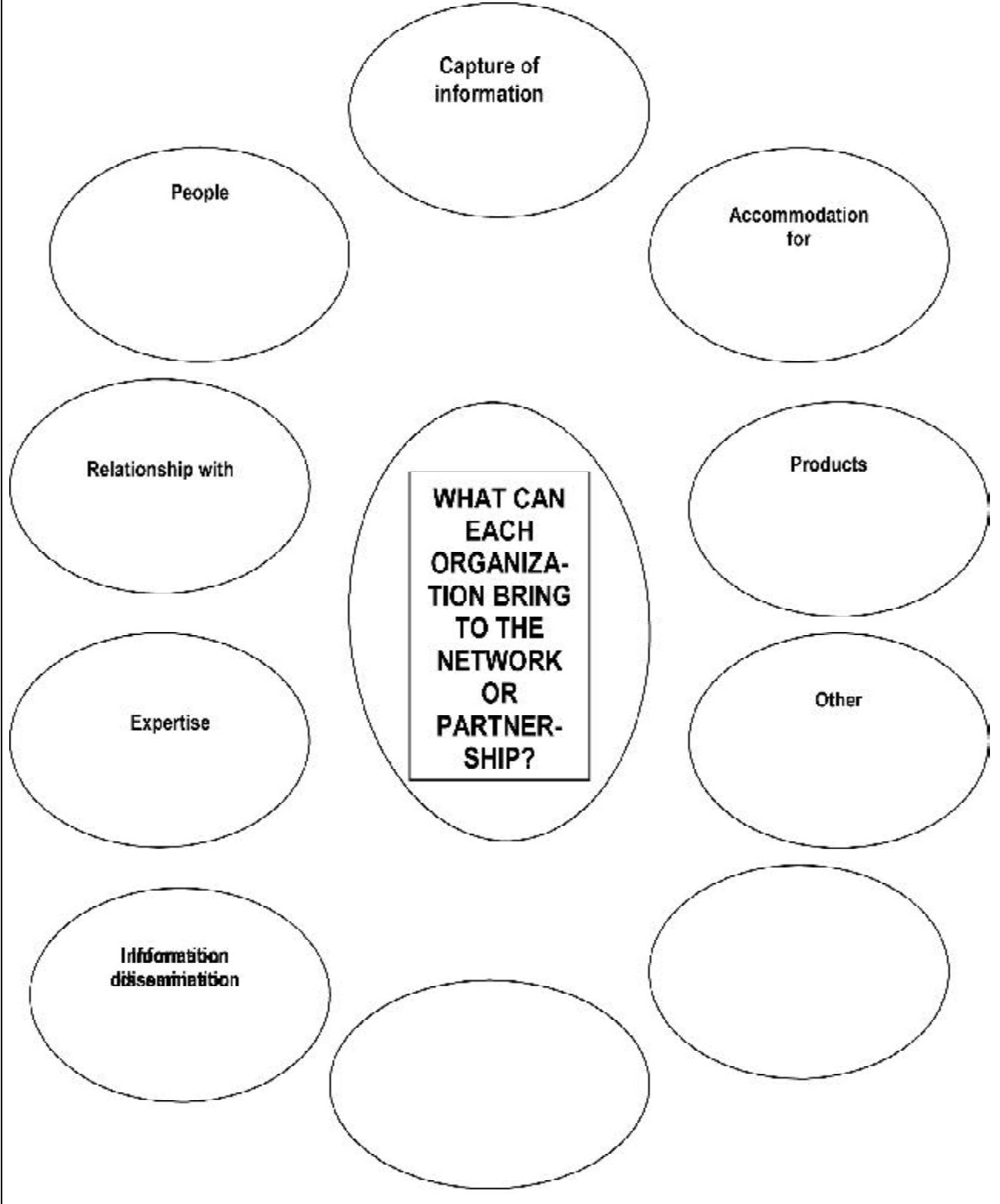
Formalizing Commitment and Governance Structures
00: 30

There comes a time when the network or partnership members are already adjusted to each other and have developed the confidence to increase the level of relationship from mere cooperation to a longer-term relationship. Thus, the members may decide to formally enter into written agreements, such as a memorandum of agreement, or to formally organize themselves into a new organization that is registered in order to be covered by the legal instruments of their country.

The establishment of formal governance structures, inherent to the fulfillment of the organization's responsibility and accountabilities, is also basic to the formalization of the network or partnership.

For purposes of this Manual, no distinction will be provided to the label, such as "network", "alliance", "coalition", "association", "foundation" or "partnership", that is usually appended to the name of an institution because these labels have already been used interchangeably in the past by those organizations that have banded together to form a higher form of organization.

Discuss with the participants the elements of two forms of a formal network or partnership as they appear in Box 4.5. After discussing the two possible forms of a network or partnership, discuss next their options for the management model that they can adopt. They can choose from any of the models given in Figure 4.6 after being able to understand the advantages and disadvantages of each.

Box 4.5. Two Forms of Formal Networks and Partnerships

- **Collaboration Through a Memorandum of Agreement**

  In this type of formal cooperation and collaboration, the network members enter into a memorandum of agreement or memorandum of understanding to define the boundaries of the relationship. The agreement is usually not legally binding, is developed and agreed by the parties as equals, is readily re-negotiable, is open-ended and entered into voluntarily.

  In such a relationship, it is best if all the parties also agree to listen carefully what other say, ask open-ended questions, have somebody to summarize what each one has to say to ensure clarity and to validate what one has stated, and agree to disagree on some points in order to move the discussion forward.

- **Collaboration by Registering a New Institution**

  In this type of a more formal network or partnership members find justification to register and operate under the laws of the country where they belong. They are able to use the rights accorded such organizations as well as the reporting responsibilities and accountabilities. Organizations under this setup have more formal structures and systems, more focused activities, increased authority and greater capacity to exert influence and better capacity to mobilize large-scale resources. They also have greater capacity to be sustainable.

Figure 4.6. Network or Partnership
Management and Mandate Options

MANAGEMENT OPTION	ADVANTAGES	DISADVANTAGES
CENTRALISED MANAGEMENT (i.e., management of partnership or project taken on by one partner organisation on behalf of the partnership)	• Maximum efficiency • Unambiguous decision-making procedures and day-to-day management systems • Familiar / conventional management approach • 'One-stop shop' for external agencies / individuals • Quicker response time	• Too distant from experience / potential contribution of other partners • Too much influence / control perceived to be in the hands of one partner • Too conventional for flexible needs of the partnership • May take decisions inappropriately quickly
DE-CENTRALISED MANAGEMENT (i.e., different aspects of management shared between the partner organisations)	• Maximum diversity at operational levels • More opportunities for individual leadership • Shared sense of 'ownership' • Moving away from conventional 'power bases' • Greater freedom of operation	• Greater potential for conflicts of interest • Partners / individuals feeling isolated • Cumbersome decision-making processes • Lack of coherence
MANAGEMENT BY MANDATE (i.e., specific tasks contracted on a case-by-case basis to individuals or single partner organisations who / which are answerable to the partners as a group)	• Allows for those who have most time (or care most about the task) to be given the role • Highly flexible approach that can be reviewed and changed as often as necessary • Shares tasks between partners and promotes a sense of collective responsibility	• Tasks need to be clearly defined and allocated appropriately • Highly dependent on individual's action and reliability • Risks individuals / single partner organisations 'doing their own thing' without adequate reference to the partner group

—Adopted from Ros Tennyson.

Good Management and Leadership Elements and Practices in Networks and Partnerships

00:20

As the network or partnership moves to establish the organization and become institutionalized, leadership abilities and management skills need to come into play. Also, the commitment of all network or partnership members as well as of their officers and staff will be required in order to push the new organization's mission forward. Aside from these there are certain management practices that have to be followed, promoted and imbibed inside the new network or partnership.

Ask the participants their ideas about good management and leadership elements and practices. Discuss what they may suggest in relation to the template entitled "Good Management and Leadership Elements and Practices in Networks and Partnerships" (Box 4.6).

Box 4.6. Good Management and Leadership Elements and Practices in Networks and Partnerships

Formation Stage

- Establish a clear purpose or mission.

- Involve individuals and organizations that share the mission.

- Build a commitment to participatory process and collaboration.

- Establish ground rules: active listening, not interrupting, speaking briefly and to the point, dealing with facts not rumor and respecting those not present

Maintenance/Growth Stage

Organization

- Define clear, specialized roles.

- Establish a structure of the members' choice as shown in Box __.

- Compile a resource map as shown in Box ___.

- Fill expertise gaps by recruiting new members.

- Establish a communication system (a telephone tree for example).

- Create a data base of members (name, address, organization's mission, type and focus of organization, and other pertinent details).

Leadership

- Share leadership functions (for example, rotating management committee).

- Promote a common language (such as transparency instead of trust; complementary objectives instead of common objectives; resourcing instead of funding; values instead of priorities; review instead of evaluation; participation instead of consultation; etc)

- Work from facts rather than an interpretation of facts (which may prove to be wrong).

- Set realistic goals and objectives.

- Divide into sub-groups/task forces to take on specific tasks according to expertise.

- Spread responsibilities across all members to avoid burnout.

- Promote participatory planning and decision-making.

- Use "break-downs" as an opportunity for "breakthroughs"

- Instead of complaining transform the act into "requesting"

- Engage in network and partner conversations to pave the future of the organization

- Create a learning culture (where members learn by doing and learn from their mistakes)

- Keep members motivated by acknowledging their contributions.

Meetings/Documentation

- Meet only when necessary.

- Set a specific agenda and circulate it ahead of time; follow the agenda and keep meetings brief; finish meetings on time; rotate meeting facilitation role.

- Ensure that every meeting achieves its goals, keeps all parties actively engaged throughout, concludes all the items on the agenda, allocates follow-up tasks and timetables for completion, agrees decision-making procedures that will operate between meetings, alerts those present to issues to be addressed at a future meeting and summarizes all decisions taken

- Use meetings as a network or partnership building tool by allowing opportunities for social interaction, brainstorming a new and topical issue, inviting a very interesting guest speaker, sharing a relevant experience such as a project visit or holding it in a member's office to see it work firsthand, by ending with a review of what worked well and what could be improved in the way the participants interacted.

- Keep attendance list and record meeting minutes to disseminate afterwards.

- Use members' facilitation skills to help the network reach decisions and resolve conflict.
- Discuss difficult issues openly during meetings.

- Maintain a network notebook to document network activities, decisions, and other key information.

Objectives

After going through the module the participants will have:

1. Increased their knowledge and understanding of policy research and on-going data collection as a critical means to inform and make effective the advocacy of issues;

2. To gain skills in the use of the most simple tools of conducting policy research and data collection.

Chapter 5
POLICY RESEARCH AND ON-GOING DATA COLLECTION

Background Notes

It cannot be over-emphasized that the success of policy advocacy efforts relies on solid evidence. Data are important in order to have a good basis for the analysis of policy issues; in conducting stakeholder analysis and determining the needs of the final beneficiaries; in networking, message development and communicating with policy audiences, and for detailed planning and substantiating advocacy action.

Evidence-based advocacy necessitates that data collection be an on-going activity all throughout the advocacy process because advocacy situations usually change frequently. Old information and data may easily become passé or reinforced as different stakeholders in the policy process have different ways and manner of interaction with the external factors and the policy environment as a whole. Advocacy organizations should be quick in adjusting their strategies and in revising their advocacy tactics.

Moreover, the more information and data an advocacy organization possesses, the more factual and realistic will its advocacy plans be. It will be able to tailor its messages according to the evidence that in turn enhances its credibility and professionalism in the face of policymakers and other stakeholders.

Before embarking on data collection, an advocacy organization should consider its own information requirements as well as those of its primary stakeholders and final beneficiaries. It must consider alternative primary and secondary data collection methodologies including analysis, reporting and presentation of results to broader audiences. The methodology to be used should be judged in accordance with the human resources, time and costs that they would require.

Data collection may involve quantitative and qualitative techniques or both. Quantitative data provide precise numerical information that can be used to give conclusive information. Qualitative data provide descriptive information on, for example, what people think, feel and do, and provides depth to quantitative data.

In organizations that have multiple advocacy objectives and themes, it becomes necessary to establish a separate, more sophisticated policy research and analysis unit that is in charge of on-going data collection and analysis. Results of analysis are then transformed into different types of reports such as fact sheets, policy briefs, policy memos and longer policy analysis reports, each one being suited to different types of consumers of information.

Research Scenarios

00: 20

Invite the participants to read the template of five research scenarios (Box 5.1). Divide participants into four groups. Distribute copies of one scenario to each group. Ask the small groups to read the scenario and discuss the question that follows it. Instruct each group to select a presenter to read the scenario and report on the group's discussion in plenary. Invite the other participants to share their opinions. Conclude the activity by asking participants to share some of their own experiences with effective and ineffective uses of data.

Box 5.1. Research Scenarios

Scenario No. 1

A network decided to focus its advocacy efforts on combating teenage pregnancy. Network members believed that the high incidence of teenage pregnancy was the result of girls having sexual relations with teenage boys. The network was going to address this issue in its advocacy messages and strategy. However, a community survey revealed that 75 percent of pregnant teenage girls reported that their partners were men over age 25.

Question: What are the implications of this finding for the network's advocacy strategy?

Scenario No. 2

While attending a presentation on the results of the country's recent Demographic Health Survey (DHS), network members were startled to learn that the southeast region reported twice the level of maternal mortality as the country as a whole as well as the lowest contraceptive prevalence rate.

Question: What additional qualitative and quantitative data are needed to help the network identify a policy issue?

Scenario No. 3

In a preliminary outreach meeting about securing district funding for family planning, a well-respected elder questioned members of the network about the advantages of modern contraceptives and couples' feelings about these methods.

Question: What type of data does the network need to answer the elder's question? How could it obtain the data?

Scenario No. 4

A press release from an advocacy network reads, "The Women's Health Coalition Warns of Growing AIDS Epidemic! A recent survey revealed a high percentage of girls between the ages of 14 and 18 have presented at clinics with STD infections, which makes them 25 percent more at risk for AIDS. Eighty-three percent of respondents report never using condoms. Within the target population, 2,000 cases of HIV have been reported with 16 active AIDS cases."

Question: As a policymaker, what message is the network sending in the press release? How can it be improved for clarity?

Data Collection Techniques

00: 15

Discuss the research methods and tools that advocates can use in advocacy as shown in the template (Box 5.2). Ask the participants to differentiate quantitative and qualitative data gathering and add the items that appear in Box 5.3. After that, ask the participants to describe the tools that fall under them as mentioned in Box 5.2. Record their responses on the template opposite each of the items. Solicit ideas about other tools that they know of. Ask them which techniques they have had any experience with and which their organization is more equipped to use. Discuss what possible considerations they may have to think about before selecting a technique, such as:

- *What are the organization's data needs?*
- *Do data already exist?*
- *What is the best technique for the network's needs?*
- *How much time is involved?*
- *How costly is it?*
- *Does the network have the skills to design and carry out the data collection activity?*

Box 5.2. Data Collection Methods

Quantitative Methods

Census
Sample survey
Stratified sample survey
Knowledge, attitude and practice survey
Baseline research

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

Qualitative Methods

Interviews
Focus group discussion
Observation
Participant observation

_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____
_____

Box 5.3. Differences Between Quantitative and Qualitative Research

Why quantitative research differs from *qualitative research:*

- The data is gathered using more structured research instruments

- The results provide less detail on behavior, attitudes and motivation

- The results are based on larger sample sizes that are representative of the population,

- The research can be replicated or repeated, giving it higher reliability; and

- The analysis of the results is more objective.

Why qualitative research differs from *quantitative research:*

- The data is gathered using less structured data-collection tools;

- The findings are more in-depth using more open-ended questions;

- The results provide more details on behavior, attitude and motivation;

- The research is more intensive and there is more flexibility to probe;

- The sample sizes are smaller and not representative of the population;

- The study cannot usually be replicated and therefore has low reliability; and

- The analysis of the results is often subjective.

The Data Collection Process
00: 30

Ask the participants who among them have participated in conducting research. Ask some of them to discuss the importance of following certain steps in the research process. After the discussion, divide the participants into three (3) smaller groups. Distribute one set of Research Process cards to each group. Be certain that the cards are not arranged in order. Instruct each group to discuss and reach agreement on the correct sequence of steps. The groups should place their cards on kraft paper. Review how the three groups arranged their cards and briefly discuss each of the steps to ensure the participants' full understanding. The steps involved in the research process are as they appear in Box 5.4.

Box 5.4. Steps in the Research Process

1. Define the research problem

2. Determine the objective of the research

3. Organize the research team

4. Select the data collection method/s

5. Identify topics and questions

6. Design the data collection method/s

7. Determine sample size and select sample

8. Pretest and finalize the method/s

9. Make a workplan and organize logistics

10. Conduct the data collection activity

11. Conduct data analysis

12. Prepare the final report

13. Evaluate the process

Most Commonly Used Method 1: Interviews

Introduce the topic by providing a brief overview of interviews (Box 5.5):

Box 5.5. What are Interviews?

- Interviews are the most commonly used data collection method in development work. They provide information on what people think, feel, and perceive.

- They are useful for both quantitative and qualitative methods. In quantitative research, they form the first step in more complicated data collection activities. When used in qualitative methods, they can provide depth to issue analysis and information for the selection of the advocacy issue.

- To conduct interviews, the interviewer uses a questionnaire or topic guide to structure the discussion of the issue being studied. Using the same set of questionnaire ensures uniformity throughout the interview.

- A questionnaire or topic guide includes an introduction, building of rapport, the interview proper and closure.

Ask the participants why interviews are the preferred choice over other data collection methods. Write their responses on the flipchart and include the following Box5.6:

Box 5.6. Why Interviews Are the Preferred Data Collection Method

1. Are inexpensive

2. Can be conducted by anyone trained in interview techniques

3. Are a good source of quantitative and qualitative data

4. Elicit a lot of information in a short time

5. Can be informal or formal

.... POLICY RESEARCH AND ON-GOING DATA COLLECTION .... Chapter 5

107

Objectives

After going through the module the participants will have:

1. Increased their knowledge and understanding of the tools of strategic communication as a means for the delivery of effective messages to various types of audience, especially to policymakers and the media.

2. Honed their skills in the use of various communications tools for the purpose of advocacy;

3. Gained practical knowledge in the use of some message delivery formats such as the briefing note and position paper, person-to person advocacy, presentation, press release, media interview and press conference.

Chapter 6
COMMUNICATING WITH POLICYMAKERS AND THE MEDIA

<u>B a c k g r o u n d   N o t e s</u>

There's no gainsaying that communication is vital to advocacy. In order to change a policy, advocates need to communicate effectively with policymakers in order to gain their support and move them to work on the issue.

But as policymakers have different levels of appreciation on a policy issue, and are confronted on a daily basis with many competing issues, there is a greater need to prepare messages that are at once short, simple, direct but compelling so as to grab their attention. This track of engaging and communicating with policymakers is the direct approach which consists of a number of strategies to educate, persuade and mobilize them to action.

A parallel track that has been proven time and again to be effective is to deal with the media and utilize its inherent power to reach various types of audiences, among them national and local government officials, opinion leaders, NGOs and peoples' organizations, business, professionals and researchers, faith-based organizations, constituents, other media professionals, fellow advocates and the general public, almost all at the same time and in the fastest manner possible. Whether advocates can transmit their message to their intended audiences, directly or not, or whether they are listened to or not, making media as a partner is another way to reach these audiences. It is more so in the Philippines, particularly among policymakers, who have extra sensitivity to good or bad image arising from media coverage. An adjunct of this track is to convince opinion makers within media institutions themselves to take action to, at least, provide space for the coverage of CSR issues and, at most, actively form a positive opinion on the issue.

This chapter starts with the conceptual aspects of strategic communication and immediately turns to the more practical and skills aspects of dealing with policymakers and the media. Audience analysis is very much a part of strategic communication but since it has been exhaustively tackled in Chapter 3, this chapter will be very specific about its use in strategic communication.

S t r a t e g i c   C o m m u n i c a t i o n
00: 15

Policy advocacy in the Philippines has taken a very different path because of its unique historical development before and after the People Power Revolution of 1986. Those who participated in these events are still very much around in many facets of the social, economic and political life of the country. Many of them are distributed in the national and local government, the judiciary, Congress, business, the academe, media, and among faith-based organizations and civil society. They occupy leadership positions and continue to pass on their legacy to the younger generations.

In short, there is a ready audience for advocacy of many policy issues in the social and economic front, not excluding CSR. And advocacy for certain issue may be easy and fluid or very difficult depending on the position of these types of audiences and the array of other stakeholders on a policy issue. But the experience itself with advocacy efforts in the past, at least in the country, has influenced and redefined existing models of strategic communication and this will be discussed in this section.

Ask the participants what they understand about strategic communication. How is it defined? You may give a clue for them by starting with the definition, "Strategic communication is any planned activity that seeks to achieve any or all of the following goals: _____. List their responses on flipchart.

Unveil a template of the Communication Model (Figure 6.1). Explain that many advocacy efforts (as well as IEC campaigns) focus primarily on the first level of this model — inform. As the model illustrates, there are higher objectives in a communication strategy that will achieve a greater impact. An effective communication strategy will seek to motivate the audience to feel something about the issue. Ask the participants to think of a poster or message that moved them to care about a particular cause. At the third level, an advocacy message should seek to persuade the audience to adopt a desired position on the issue. Finally, the message should move the audience to take action. Refer back to the matrix containing the comparison of advocacy with the related concepts. Explain that although each level of the Strategic Communication Model should be achieved, a successful advocacy campaign is one that reaches the highest level, that is, to move someone to action. Did the policy-maker make a favorable decision in regard to the advocacy issue? Did s/he adopt a new policy or reform an outdated one? In existing models, every strategic communication effort should seek to reach the highest possible level.

Ask the participants if the model suffices with the unique experience in policy advocacy in the Philippines. Is there any thing missing? Unveil a second template of the Advancement of the Strategic Communication Model in the country (Figure 6.2). Explain that "championing" is the highest possible advancement of the model. Cite the prerequisites for and qualities of a champion. A champion is one:

- *Who has unique leadership ability to move an issue on a sustained basis*
- *Who has embraced and established ownership of an issue and is capable of articulating its substantive and technical details*
- *Who has some power to influence peers, higher authorities and other leaders*
- *Who has made himself either a member of an advocacy organization, network or partnership or is an independent ally but collaborating closely in planning and evaluation*
- *Who has adopted the advocacy constituency as his own and brings his own constituency to expand its base and other resources as well*
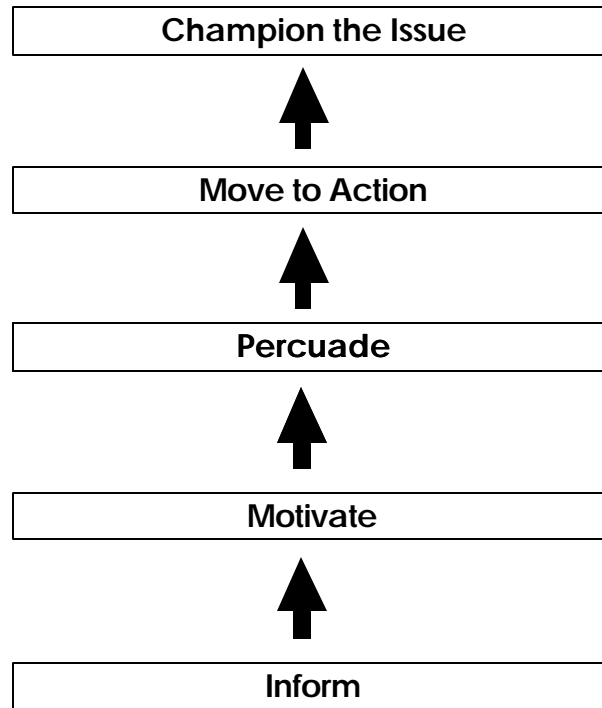
Cite some examples of national leaders, especially legislators, media personalities and others who can be cited as champions of CSR. Ask them to cite some local examples of champions.

Figure 6.1. Existing Strategic Communication Model

Move to Action

↑

Percuade

↑

Motivate

↑

Inform
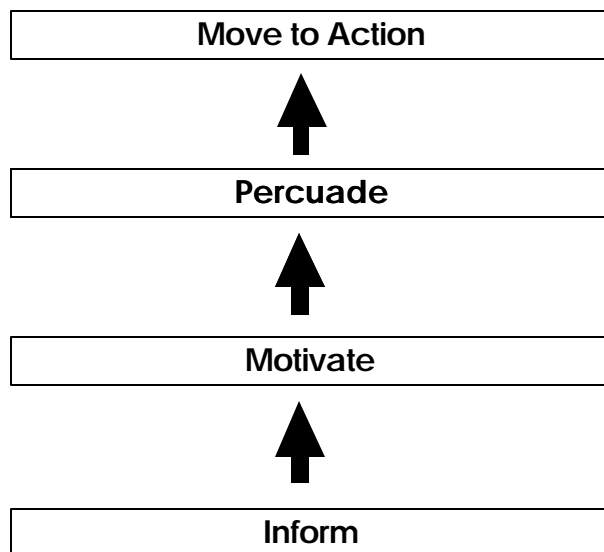
Adapted from "Gender, Reproductive Health and Advocacy: A Trainer's Manual"

Figure 6.2. Advancement of the Strategic Communication Model

```
        ┌─────────────────────────────┐
        │      Champion the Issue      │
        └─────────────────────────────┘
                      ▲
        ┌─────────────────────────────┐
        │        Move to Action        │
        └─────────────────────────────┘
                      ▲
        ┌─────────────────────────────┐
        │           Percuade           │
        └─────────────────────────────┘
                      ▲
        ┌─────────────────────────────┐
        │           Motivate           │
        └─────────────────────────────┘
                      ▲
        ┌─────────────────────────────┐
        │            Inform            │
        └─────────────────────────────┘
```

Conclude the discussion by completing a revised definition of strategic communication.

"Strategic communication in advocacy is any planned activity that seeks to achieve any or all of the following goals: inform, motivate, persuade, move to action or champion a cause.

Audience Analysis in Communication
02:00

In Chapter 3, elaborate attention has been given to stakeholder analysis, which stands at the core of advocacy issue analysis. Advocacy also provides primary attention to communication because it is at this stage that the results of analysis become translated into chewable pieces to influence and move into a desired action various types of audience. Being altogether a distinct field, communication requires the very same processes that stakeholder analysis in advocacy issue analysis requires except that in this chapter, it will be very specific to the analysis of the primary audiences of communication, i.e. policymakers and the media.

Effective advocacy relies heavily on the capacity of advocates to persuade policymakers to take action on a policy issue and the media to provide coverage to it. Understanding and using strategic communication is one of the means of achieving this.

Ask the participants to think of a time when they were persuaded by someone else to change their opinion. What did it take to make this happen? List on flipchart some of their responses which may include the following:

- *A credible source*
- *Convincing data*
- *A story of someone's personal experience*

Explain that in such act of persuading, they are using an aspect of strategic communication. Ask what they have in mind about the definition of strategic communication. List their responses. Include some of their responses as you discuss its definition: **Strategic communication** *is any planned communication activity that seeks to achieve one of the following communication goals — inform, persuade, motivate, move to action or champion a cause.*

Explain that a key element of strategic communication is to understand the audience well and to see an issue from their perspective. The advocate must think about what will motivate a target audience to support a cause. This is one of the greatest challenges of strategic communication—the ability to put oneself in the shoes of the audience and to see how they will benefit from supporting an advocacy cause. They have to be seen also in terms of how they think of the potential risks and rewards that they will face if they joined an advocacy cause.

Go back to the stakeholder analysis matrix, the political map, SWOT analysis matrix and Venn Diagram of one of the municipalities in Benguet province. It has been earlier stated that the mayor understands CSR issues but she also has closeness to a religious organization. How would the mayor see the CSR issue from her perspective? How would she benefit? How would she see the risks? Some possible responses to be listed on flipchart may include the following:

<u>*Benefits*</u>

- *Positive publicity and improved image*
- *Show of leadership and political will*
- *Increase in voter support, specially among the MWRAs*
- *Additional technical assistance*
- *Additional funds and commodities coming in from outside sources*

<u>*Risks*</u>

- *Earn the ire of the religious organization and elements from its flock resulting in reduction of votes*
- *Reallocation of scarce municipal funds away from projects that have more public appeal*
- *Opposition may use it as an issue during elections*

Explain to the participants that the mayor will exactly weigh the positive and negative effects of her choices. What is important is that knowing her interests and fears, it is now possible to include these considerations in formulating an advocacy strategy. The advocacy strategy will include the formulation of a message that is appropriate and tailor-fit to the intended audience.

Ask the participants to divide themselves into their original workshop groups bringing their various matrixes used in stakeholder analysis. Ask them to pay particular attention to the Observations portion in discussing and answering the Audience Analysis Worksheet (Form 6.1) as reference for message development. Ask each group to make a presentation of their report. After their reports brainstorm on the following questions: a) If you gave any of the factors in the worksheet a low score evaluation, how would you solve that problem?; b) Based on the analysis, how would you formulate an advocacy message that appeals to your audience?

Form 6.1. Audience Analysis Worksheet

Target audience					
Advocacy Issue					
Evaluate your audiences' level of :	(1=high; 5=low)				
Familiarity with your network/organization	1	2	3	4	5
Knowledge about your advocacy issue	1	2	3	4	5
Agreement with your position on the issue	1	2	3	4	5
Previous, demonstrated support for your issue	1	2	3	4	5
Identify your audiences':					
Potential interests/benefits related to the issue:	Influentials (secondary audiences who can exert influence over your target audience):				
1.	1				
2.	2				
3.	3				
4.	4				
5.	5				

Adopted and modified from "Gender, Reproductive Health and Advocacy: A Trainer's Manual"

Message Development
01: 30

In order to reach your intended audience you need to prepare your message. The advocacy message you prepare is what you choose to say about the policy issue, and its solution. It also reflects on who you are.

What will be learned in this section are the principles of message development, the characteristics of an effective message, its elements, the alternative formats for messages and factors to consider in the choice of message formats.

<u>P r i n c i p l e s   o f   M e s s a g e   D e v e l o p m e n t</u>

Explain to the participants that there are certain principles to be observed in message development. What are these principles? Ask the participants to contribute their ideas about these principles. Unveil a template about these principles (Box 6.1) and explain. Include the participants' contribution in the discussion.

Box 6.1. Ten Principles of Message Development

1. **Know your audience.** Find out who cares – or could be persuaded to care – about your issue. This has already been extensively discussed in Chapter three and under Audience Analysis.

2. **Know your environment and moment (controversies, big issues, fears, etc.).** Many contextual factors will shape your message. These include the level of political openness and public attitudes about controversy. In countries emerging from conflict or economic crises, messages that express hope may work well. When a government is broadly under fire, it may be more acceptable to criticize explicitly. In a time of war, critical messages become less acceptable. Often it helps to link your message to another issue that has public attention. Comparisons with other well-known problems help audiences understand the seriousness of your issue.

3. **Keep your message simple and brief.** Make sure the information can be easily understood by someone who does not know the subject. Jargon is confusing and should be avoided. Even common terms like "sustainable development" and "civil society" are obscure to most people.

4. **Use real life stories and quotes.** Political debates are often reduced to facts and sweeping social analysis that may not reach most audiences, even policymakers. The human element makes a problem real. Quotes and personal stories bring to life the challenges of a problem in a way that general explanations cannot.

5. **Use precise, powerful language and active verbs.** Advocacy groups often use language that may not work with all audiences. For example, the general public message of an African women's advocacy campaign to reform inheritance laws was "Put an end to property-

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grabbing. Support women's equal rights to inherit." The message was then tailored for rural women, suggesting a concrete action and using an image showing the need to be vigilant: "End property-grabbing: Write a will and cry with one eye open."

6. **Use clear facts and numbers creatively.** Good information boosts the clout of any advocacy. But the facts you choose and how you present them is important. Concretely, ask: What is the problem/issue? What are the causes? Who is directly affected and how? What are the financial and social costs? Who's to blame? What is the solution, and what can a citizen or policymaker do to help? The answers to these questions require credible research from reliable sources. Although some issues require new research, usually there is a lot of information already available. What you will add is a new way of understanding the facts and figures in line with your advocacy objectives.

7. **Adapt the message to the medium.** Each medium has its own possibilities and limitations. For example, radio relies on sounds. So you should use different voices, backgrounds sounds and music to add to make your message compelling. For television, make full use of the visual element and reduce written and spoken information. For street theater, engage the audience by asking questions, inviting responses, speaking to individuals and making people laugh.

8. **Allow the audience to reach their own understanding.** Provide the basic details and allow the audience to develop their own understanding of the issue. Too much explanation appears dogmatic. Longer explanations are useful once you have your audience's attention.

9. **Encourage the audience to take action.** Your audience – whether it's policymakers or the general public – needs to know what they can do to support your cause. Offer simple suggestions, like "visit your local councilor" or "discuss this matter in your Parent Teacher Association" or "vote 'yes'" or "call the Campaign for a Living Wage to register support."

10. **Present a possible solution.** Tell your audience what you propose to solve the problem. Keep the solution simple, such as "the government needs to show its commitment by providing adequate funding" or "new laws are needed to keep people safe."

Adapted and modified from "A New Weave of Power, People & Politics: The Action Guide for Advocacy and Citizen Participation".

Characteristics of an Effective Message

Since television has outpaced the use of other communication media, it will be best to use examples from this medium. Pre-record three or four of the most currently popular TV advertisements and transfer these on compact disk or to your computer. Through the use of an LCD projector, play these advertisements twice. Divide the participants according to the advertisement that they like the most. Ask the groups to list the most appealing characteristics of their assigned advertisement and make a presentation of this. Unveil a template of the characteristics of effective messages (Box 6.2) and include the most relevant items identified in the presentations.

Box 6.2. Characteristics of Effective Messages

- Simple, concise

- Appropriate language

- Content consistent with format

- A credible messenger

- Tone and language (for example, serious, humorous, or provocative) consistent with content

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Adopted and modified from "Gender, Reproductive Health and Advocacy: A Trainer's Manual"

The Five Elements of a Message

Explain to the participants that a message consists of certain elements in order that it can be understood by its intended audience. One commonsensical element is content. What other elements might a message consist of? List on flip chart what the participants may suggest. Why are they important? Unveil the template bearing the Five Elements of a Message (Box 6.3) and discuss together with the offered contribution of the participants.

Box 6.3. Five Elements of Messages

Content. The content is the central idea of the message. What is the main point you want to convey to your audience? What arguments are you going to use to persuade your audience? It should contain the following (from Ritu R. Sharma):

- What you want to achieve;
- Why to want to achieve it (the positive result of taking action and/ or the negative consequence of inaction);
- How you propose to achieve it;
- What action you want the audience to take.

Language. Language refers to the words you choose to communicate your message clearly and effectively. Is the word choice clear or could it be interpreted differently by various audiences? Is the language appropriate for your target audience?

Messenger/Source. The messenger or source is the person who will deliver the message. Is the messenger credible to your target audience? Is it possible to involve representatives of the community affected by the policy change as messengers? For example, can you invite a community leader to join you for a high-level meeting with a policy-maker? Sometimes NGOs can be effective intermediaries for the affected population at the policy-making table.

Format/Medium. The format or medium is the communication channel you use for message delivery. What is the most compelling format to reach your target audience—a signed petition,

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a face-to-face meeting, or a TV or radio advertisement? Common formats vary from country to country; however, it is useful to have an exhaustive list to spark new ideas and foster creativity.

Time and Place. When and where will you deliver your advocacy message? Is there an electoral campaign underway that might make policy-makers more receptive than normal to your message? Are there other political events that you can link up with, to draw more attention to your issue? Some advocacy groups connect their communication strategies to events like International Women's Day or World AIDS Day.

Adopted and modified from "Gender, Reproductive Health and Advocacy: A Trainer's Manual"

Message Formats

Explain to the participants that with the fast pace of technological development, effective message formats have incredibly expanded through the tears. Ask them to name some of these message formats and list them on flipchart. Unveil your own list of message formats (Box 6.4) and include those listed by the participants.

Box 6.4. Message Delivery Formats

- Person-to-person approach or formal or informal face-to-face meetings, including sending a delegation of advocacy representatives

- Informal talks in various social, religious, political or business gatherings

- Policy memos and position papers

- Letters that range from personal to organizational or network

- Policy briefing meetings

- Policy briefing packets

- Fact sheets

- Pamphlets and brochures

- Graphics, comics magazines and other illustrations

- Project site visits

- Video presentations

- Computer presentations, overhead and slide presentations

- Policy forums (sector- or audience-specific or multi-sectoral)

- Public service announcements (PSAs)

- Posters, flyers in areas of work of target audience or in public places

- Public rallies

- Drama presentation

- Petitions

- Media releases and press conferences

- Opinion/editorial (Op/Ed) items (such as letters to the editor, editorials and column items)

- Public and TV/radio debates

- TV/radio news clips and features

- TV/radio drama episodes

- Media advertisements

- Appearance in TV/radio public affairs programs

- Contests to design posters, or slogans

Adopted and modified from "Gender, Reproductive Health and Advocacy: A Trainer's Manual, and "An Introduction to Advocacy"

Factors to Consider in Choosing Message Delivery Formats

Explain to the participants that the choice of a particular format depends on a number of factors. What are these? List on flipchart suggestions from the participants and ask them to explain their answers. Unveil a template of Some Factors to Consider in Choosing Message Delivery Formats (Box 6.5). Explain and qualify. Include the answers of the participants in the discussion.

Box 6.5. Some Factors to Consider in Choosing Message Delivery Formats

Cost. Mass media such as radio or television can be very costly. An advocacy group should seek out free or reduced-cost opportunities to use mass media.

Risks. Risk is an element that separates advocacy from IEC or public relations work. When an NGO or a network goes public with an advocacy issue—especially a controversial one—there is always the chance that its reputation will be tarnished. Certain advocacy tactics entail more risk than others. Public debates and live forums that highlight both sides of an issue can turn into heated events. Nevertheless, risk can be minimized through careful planning, including selection of appropriate speakers and rehearsing the event.

Visibility. An NGO or network may choose one tactic over another when it can use a contact or connection to raise the visibility of an event. Perhaps a celebrity or high-ranking public official is willing to visit a project site. This may provide an excellent opportunity to recruit other decision-makers to visit the site and promote a particular advocacy objective.

Adopted from "Gender, Reproductive Health and Advocacy: A Trainer's Manual"
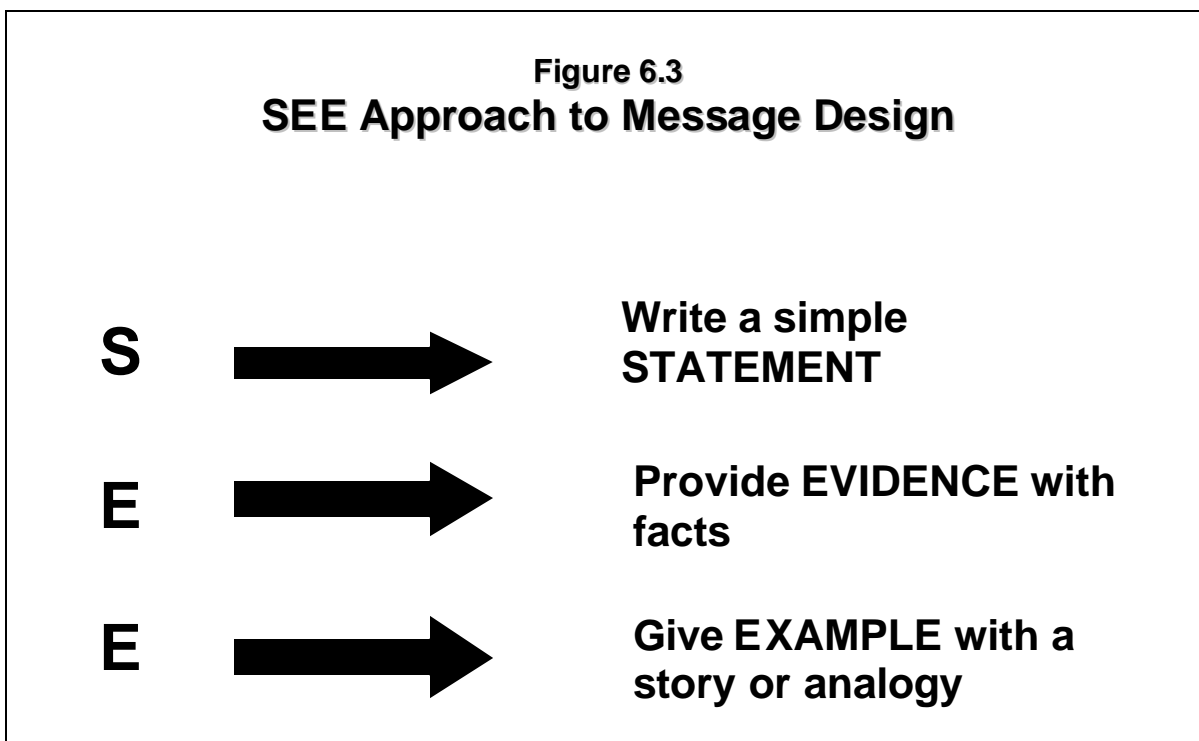
The One-Minute Message
01:30

Policymakers and other decision-makers have a very short attention span because they are generally busy and are beset with competing concerns. To obtain their attention advocates should be able to deliver their message in about a minute. The SEE Approach for a one-minute message has been proven to work in many settings among policymakers in the Philippines. Examples of the one-minute message are also discussed.

Present the template of the SEE Approach for the One-Minute Message (Figure 6.3) and discuss. Present an example (Box 6.6). Ask the participants to analyze and critique the sample one-minute message. Is there anything missing? The one missing piece is the penultimate step of "moving the policymaker to action". Remind the participants that at the end of the message, the speaker should clearly indicate what the audience can do to change the situation, an invitation to action.

Figure 6.3
SEE Approach to Message Design

S ➡ **Write a simple STATEMENT**

E ➡ **Provide EVIDENCE with facts**

E ➡ **Give EXAMPLE with a story or analogy**

Adopted from PLCPD (Romeo Dongeto's Powerpoint Presentation)

Box 6.6. Example 1: One-Minute Message

Statement

Filipinos favor family planning.

Evidence

In the 2004 Pulse Asia Survey, 82% of respondents say they would support candidates who are in favor of a law or measure on family planning.

Example

Overall, 54 candidates who are authors of the Reproductive Health Care Act and the Integrated Population and Development measures in the 12th Congress have won in the elections. This clearly dispels the threat that population and reproductive health champions are bound to lose the votes of the electorate.

Preparing a One-Minute Message and Message Delivery Role-Play

Distribute handouts of the Message Development Worksheet and present it on a template as well (Form 6.2). Explain its contents. Ask the participants to return to their original workshop groups, and based on their unique situations, to prepare a One-Minute Message on CSR + to be presented in plenary.

After the presentations, ask the participants to make a critique of each other's presentations. List the salient points and summarize.

Role Play and Dramatization

Ask the participants to return to their workshop groups and revise their respective worksheets. Ask each group to prepare a role-play or dramatization of what they have in their worksheets for plenary presentation.

After each presentation, get feedback from the audience by asking these questions:

- *Was the central advocacy message clear? What was it?*
- *Put yourselves in the place of the target audience. Were you informed, motivated, persuaded, and moved to act?*
- *Which communication techniques pushed the audience up the strategic communication scale?*
- *What was most effective about this advocacy approach?*
- *Is there anything you would add or do differently?*

Form 6.2. Message Development Worksheet

Target audience	
Action you want the audience to take	
Message content	
Format/s	
Messenger/s	
Time and place of delivery	

Dealing with Policymakers Using Various Message Delivery Formats

05:30

Advocates must be creative in dealing with policymakers and optimize the very short period of time they would normally allow for a face-to-face discussion. Messages should be short, concise, and persuasive. As much as possible, the issues you try to ask the policymakers to support should somehow relate to those they have already taken up in the past.

As the policymakers' constituencies are foremost in their consideration in their decision whether to support an issue or not, you should also relate the issue to what benefits it will bring to their constituents and to the rest of the population. Policymakers may even regard you as part of their constituency as they always think of an expansive approach; hence, you can think of how your proposal will expand their political base.

Most policymakers in the country are not afraid to be "ambushed". Because many of them have the habit of being with their constituents, and sometimes it is more difficult to schedule a formal meeting, many of them can be approached informally while going to office, in sessions, or while having informal meetings with their constituents. It also takes a lot of daring, opportunity-seeking and timing to deliver your person-to-person message – so far the most effective method — to a policymaker. Finally, do not forget to include in your message what action you would like them to do.

Dealing with Media

05:30

Advocates have plenty of reasons why they should provide top priority to dealing with the media. With the very fast pace of technological development, media have proven that they are the quickest and the most effective in providing the most comprehensive information to most types of audience. Not only that, they help raise the awareness, shape opinions and change the behavior of these audiences, including the general public.

Policymakers are some of the most important consumers of media. Owing to their stature, they are extra-sensitive (for better or for worse) to policy issues that involve them directly, are popular or controversial, or for coverage that affect their career personally. Advocacy issues when covered by the media have a special way of reaching policymakers because of this sensitivity that may not even be available at

first in attempts to have person-to-person dialogue with them. Many times repeated media exposure and coverage have to first soften the ground, so to speak, before a policymaker would even provide an audience to advocates.

In recent years, the media complexion for CSR and related issues have been given much media coverage, first, because of the existence of a great number of media practitioners who have interest on the issue, and second, because some advocates, especially among policy champions themselves, have provided increasing attention to the important role of media. Other sectors have joined as well in realizing media's role and used various means to be covered by them.

Some media practitioners, especially those writing for the Op/Ed section in newspapers, and public affairs anchorpersons on radio and TV, have even formed their own organizations to become advocates of CSR and related issues themselves.

Therefore, we can ascribe certain goals to prioritizing the need to deal with media:

   a. Generate support from among the various policymakers, primarily, and sec-
      ondarily from among the various other stakeholders and the general public;
   b. Stimulate discussion on the issues you are dealing with
   c. Enhance the visibility of your organization and name recognition
   d. Inform the public about your activities
   e. Increase fundraising or membership

Media practitioners themselves have various sensibilities. Many of them frown upon being just "used", e.g. contacting them when you need them to cover a story, for instance. As they are also beset with all sorts of demands because they have different issues to cover, they want advocates to help educate them substantively and technically so that they can make better stories in newspapers or articulate your issues better on TV and radio.

Some advocacy organizations in the Philippines have been successful in dealing with media. They do this by organizing media policy forums that discuss advocacy issues. Sometimes, these policy forums take the form of policy dialogues where policy champions and the media just discuss the issues together without regard to seeing the results in print, radio or TV. Special media officers are also assigned to develop relationship with media practitioners where both formal and informal updating sessions take place. These sessions result in developing issue-based friendship among media practitioners and advocacy organizations.

The skills development portion of this chapter, which follows, will be devoted to workshops of selected formats that are intended to reach policymakers and the media (Annexes 6A, 6B, 6C, 6D, 6E and 6F.). They have been obtained and modified from International HIV/AIDS Alliance, Advocacy in Action: A Toolkit to Support NGOs and CBOs Responding to HIV AIDS.

Briefing Note/Position Paper

Background Material on a Briefing Note/Position Paper

Introduction

A briefing note and a position paper are both documents that clearly state the position or opinion of an organization (or a network or partnership) about a particular issue. The message of these documents is: 'This is what we think about this topic, and this is what we recommend'. They are different from a press release, which is written specifically for a media audience. This manual makes the following distinction between the two, based on who the audience is:

A **position paper** is written to be read by a target, not an ally. It is a formal written record of the position (opinion) of an organization for an external audience. Position papers can:

- Be left with an individual decision-maker at the end of a face-to-face meeting, to summarize the main points of your message
- Be sent to local and national governments during consultation exercises
- Be sent to people in influence, in response to a policy or action; to explain an alternative or supporting position
- Summarize the resolutions of a conference or workshop
- Show that a coalition of many different allies supports your advocacy objective
- Be given to delegates or members of a committee at the beginning of a meeting or conference – whether or not you are allowed to speak at the meeting.

A **briefing note** is written for a leader of your organization, a champion or an ally, not a target. It is similar to a speaker's notes, to help someone who is speaking publicly in support of your advocacy objective. Often a briefing note is a position paper with additional advice to the speaker – for example, how to answer questions, or key points to emphasize. A briefing note can:

- Be written by a program officer involved in advocacy work, to assist the executive director in supporting the advocacy objective at a high-level meeting
- Summarize the agreed advocacy objectives and messages of a coalition, to ensure that all members of the coalition give a consistent message.

Advantages
- Briefing notes and position papers are a good way to provide clear documentation of our points for external audiences.
- They reduce distortion or misinterpretation of our positions.
- They are a way of contributing to decision-making processes – for example, as a way of delivering your analysis of policies or legislation to people in positions of influence.
- They help to identify allies based on the reaction to your position paper/briefing note.
- They can build consensus on policies inside the organization.

Disadvantages

- Briefing notes and position papers commit the organization to a certain position; an organization can change its mind – but it cannot deny what its position was in the past.
- They are only as up-to-date as the last time they were edited/written, but they may still be in use long after you have changed your position.
- It is sometimes difficult and time consuming to involve beneficiaries in writing position papers – but not doing so can make our work less representative.
- They can be misinterpreted if you are not there to explain them.
- They can be ignored.

Skills-Building Activity on Briefing Note/Position Paper

Objective: By the end of this session participants will be able to explain the purpose and format of a position paper and a briefing note

Preparation time: 2 hours

Resources: Copies of 'How to...' Handout

Instructions Timing: 1 hour 30 minutes

Introduce the topic and explain the objective of the activity to the participants. Ask the participants to explain what a briefing note and position paper are, and their purpose. Clarify if necessary.

Divide the participants into four workshop groups, (preferably the original workshop groups). Ask two groups to write a briefing note for the chair of their board or governing body, to assist them in speaking at a CSR policy conference. Ask the two groups to write a position paper calling for the passage of a CSR policy.

Give the participants a copy of the 'How to...' handout. Ask the groups to write their documents by starting with brief bullet points for structure and filling in the details at a later stage.

Ask the groups to present their position papers and briefing notes. Lead a discussion based on the following questions:

- How could these documents be improved?
- How clear is the difference between a briefing note and a position paper?
- How can you involve the people affected by the issue in contributing to your briefing note or position paper?
- What have you learned from this activity?

Encourage participants to discuss any experiences of writing and using briefing notes and position papers.

Facilitators' notes

Try to prevent the participants getting into a debate about the difference between a briefing note and a position paper. What they are called does not matter as much as participants being able to brief someone effectively and write their position clearly.

You can save time by identifying in advance the advocacy issue for each group, and the target decision-maker.

Instructions for the group writing a position paper are designed to show that we can advocate for the *implementation* of policies, as well as the introduction of policies and changes to policies. Ask the position paper group to pretend they agree with the policy, or find a policy you think they will support. If this is not appropriate, ask them to write a position paper challenging an existing policy.

You may want to ask some pairs to do a different activity – preparing some advice (see 'Try to...' and 'Try not to... tips) for writing a position paper or briefing note. Explain to the participants that the process of developing a briefing note or position paper can help an organization to clarify its point of view on an issue internally. Briefing notes and position papers are also a good way of ensuring consistency on issues through the organization and over time. They are a useful means of documentation and provide a historical record of an organization's position on issues.

Advice

- **Try to** use appropriate language for your target audiences.
- **Try to** tailor your position paper/briefing note to a particular audience for a particular reason.
- **Try to** give full references of any research or information quoted.
- **Try to** be brief and to the point.
- **Try to** ask others for ideas before writing.
- **Try to** make sure the appropriate people have been consulted.
- **Try to** ensure that everyone in the organization understands the position the organization is taking.
- **Try to** read it carefully for mistakes before sending or using it.

- **Try not to** distribute a position paper that contradicts what you have said.
- **Try not to** include irrelevant information.
- **Try not to** waffle – make clear points and highlight them with bullet points.
- **Try not to** quote people without their permission or break confidentiality in case studies.
- **Try not to** use abbreviations unless necessary.

How to… Write a Position Paper

Ideally a position paper should be written in full sentences and typed neatly. Follow the format for policy documents used in the target organization, if you know it. Otherwise, use the format below. It should include:

. . . .

130

Statement of main recommendation: One to two sentences.

Background: Explanation of why the position paper has been written. List of laws, international treaties, decrees, policies, etc., that support the recommendation.

Evidence supporting the recommendation:

- *Quantitative evidence:* Facts and figures.
- *Qualitative evidence:* Case studies, personal testimonies, anecdotes or examples supporting the recommendation. Ask for permission from individuals quoted, to protect confidentiality.

Our position: Logical explanation of how the evidence leads to the recommendations. Answers to possible questions or objections.

Recommendations: Specific, realistic actions that the decision-maker can take.

Organizations and individuals supporting this position paper.

- The name of your organization or coalition, and logo if appropriate
- The date
- A contact name, address, telephone and fax number, and e-mail address, where available
- The mission/goals of your organization or coalition

How to… Write a Briefing Note

This document will only be seen by individuals within your organization, or within your advocacy network, to assist them in delivering advocacy messages. Therefore, it is acceptable to write notes instead of full sentences, and to use bullet points. Follow the same format as above, but also:

- Emphasize the most important points – for example, using bold type/underline or a colored pen.
- Suggest possible strategies, tactics, minimum demands that cannot be compromised.
- Include possible questions that might be asked, and suggested answers.
- Include problematic issues that might arise, and suggest how to deal with them.

General Advice

Briefing notes and position papers should be as short as possible. People are less likely to read them if they are too long.

Do not assume that the reader knows the subject well – make sure that sufficient background information is included for the reader to understand the issue without needing to carry out additional research. Try to keep this information concise. Separate fact from opinion. Provide supporting evidence to back up facts, and write opinions as quotes where appropriate.

Person-to-Person Approach or Face-to-Face Meetings

Background Notes on Person-to-Person Approach or Face-to-Face Meetings

Introduction

A person-to-person approach or face-to-face meeting with a targeted decision-maker is one of the most frequently used advocacy methodologies and is often the starting point in a series of activities.

Personal contact provides the opportunity to build relationships with decision-makers, which could prove very useful in future. Try to set up a channel for regular contacts.

It is important to choose the right time for meeting decision-makers, when your issue or problem is already on their agenda or most likely to be taken up – for example, before an important vote – or when they are able to take action in support of your advocacy – for example, during the budget-setting process, or at the time of an annual meeting.

Try to imagine how the issue or problem looks from the decision-maker's point of view.
Why should they support your advocacy objective? How can they benefit from taking the action you are requesting? This can be answered more easily if you have fully researched the 'target person' you are meeting.

Make realistic requests. Show the decision-maker that there is widespread support for your advocacy objective. Encourage allies to also lobby the same decision-maker, giving the same message (use briefing notes to ensure the message is the same). It is difficult for officials to ignore large numbers of advocates.

Do not be satisfied with vague expressions of support. Return to two basic questions:

- Does the decision-maker agree that things need to change?
- What are they willing to do to make change happen?

Advantages

- It shows the human face of the issue or problem to decision-makers, especially if people directly affected by the issue are involved.
- No need for literacy.
- Good for involving people at community level.
- It is an opportunity to express emotions and share personal experiences.
- It allows you to discuss the issue rather than just present you position.
- Creates a personal connection which is more likely to lead to things being done.

Disadvantages

- The message could fail to make an impact if the decision-maker takes a personal dislike to the messenger(s).
- A decision-maker with greater negotiating skills could make the meeting a waste of time, or could persuade you to agree to actions you later regret.

Skills-Building Activity for Person-to-Person Approach or Face-to-Face Meetings

Objective: By the end of this session participants will be able to conduct a face-to-face meeting with a decision-maker

Preparation time: 30 minutes

Resources: 'How to...' Handout

Instructions Timing: 1 hour 30 minutes

Introduce the topic and explain the objective of the activity to the participants. In plenary ask the participants, "What are the advantages and disadvantages of holding face-to-face meetings for advocacy work?"

Divide the participants up into their original assignments. Assign to the groups new topical issues related to CSR that they might advocate about – for example, a policy on user fees, a policy on market segmentation, a policy on CBMIS and a policy to obtain resources from the GAD Fund for CSR.

Ask at least one group to role-play a meeting in which the decision-maker opposes the advocacy objective. Ask at least one other group to role-play a meeting in which the decision-maker is neutral or uninterested in the advocacy objective.

Ask participants to practice preparing to hold a face-to-face meeting with an influential person. They should identify two or more people to act as the 'advocate(s)' and two or more people to act as the influential people. Give each group these guidelines:

- Prepare your case with facts and evidence to support what you will say
- Identify what the decision-maker might argue their case, and plan your replies
- Consider how you want to behave during the meeting and why
- Decide what, if anything, you should take to the meeting.

Ask all of the groups to perform a 10 minute role-play of the face-to-face meeting they have prepared for the whole group.

. . . .

133

Lead a plenary discussion about face-to-face meetings for advocacy work, based on the following kinds of questions:

- Who was more persuasive and why?
- How could the advocates have improved their lobbying?
- How might you follow-up a face-to-face meeting?
- What did you learn about face-to-face meetings from the role-plays?
- What are the advantages of having people directly affected by the issue or problem at such a meeting?

Invite any other comments or experiences of face-to-face advocacy.

Facilitators' Notes

If time allows, ask each group or pair to list some advice ('Try to...' and 'Try not to...' points) for face-to-face advocacy. If the skills session on position papers and briefing notes is not part of the workshop, some participants can prepare a position paper for this activity. In some circumstances it may be possible to do some real advocacy work in the form of a face-to-face meeting. However, this will only be possible if the beneficiaries have been involved in the planning of the action, and if some or all of the participants can carefully plan and agree on a course of action with legitimacy from their organizations and within the time available.

Example: Workshop participants meet city administrator to oppose mandatory testing

During an advocacy workshop held in the Philippines in 1998, participants read in the local press that the Mayor of Davao City planned to introduce mandatory HIV testing of 'Guest Relations Officers' (sex workers). This contradicted the Philippine AIDS Law that was passed in February 1998.

A request was made for an audience with the mayor, to explain the harmful effects of mandatory testing and highlight that this acted against the recently passed AIDS Law. Iwag Dabaw, one of the NGOs at the workshop, had built good relations with city officials through its previous external relations work and was able to arrange a meeting with the city administrator.

In preparation for the meeting, the participants with experience of working with sex workers and of gender and power relations drafted a position paper on mandatory HIV testing and a covering letter. The group presented their draft to all the participants at the workshop, and made revisions after comments from other participants and resource persons.

The whole group worked together to improve the documents and everyone signed the letter. The group prepared for the meeting with discussion, identification of a lead spokesperson and support team, sequencing and logistical arrangements.

Along with a local sex worker group, Lawig Bubai, the group met the city administrator at City Hall to explain the content of their position paper, and requested that he pass the paper to the mayor. Two local journalists attended the meeting. The mayor was persuaded and did not impose the mandatory HIV testing. The meeting also received coverage in two local newspapers.

After the meeting, the group reviewed and analyzed how the meeting had gone. The exercise illustrated several points to the participants:

- Preparation for a meeting is as important as the meeting itself
- Opportunities for advocacy are often unplanned, so be prepared for unforeseen events
- Advocacy work is often done under time pressures and as reactions to events.

Advice

- **Try to** begin by praising the decision maker for any past support on your issue.
- **Try to** begin by pointing out areas of agreement and mutual interest with the decision-maker.
- **Try to** listen, as well as talk – you need to hear what your target thinks.
- **Try to** link your objective to an issue the decision-maker cares about.
- **Try to** know more about the issue than the decision-maker. Gain a reputation for being knowledgeable.
- **Try to** be willing to negotiate, but be clear about how far you will compromise.
- **Try to** decide who will say what, if there is more than one of you.
- **Try to** end by summarizing what the decision-maker has said or promised.

- **Try not to** ask the decision-maker to do more than one thing at a time, unless he or she seems very eager to help you.
- **Try not to** confuse the decision-maker with too many messages.
- **Try not to** give too much information – for example, graphs, statistics.
- **Try not to** use technical terms or jargon.
- **Try not to** give false or misleading information – it can cause you problems in future.

How to...Conduct a Person-to-Person Approach or Hold a Face-to-Face Meeting

Establish 'points of entry'

Think creatively about how you can get a meeting with the target person. Is there something you have in common? For example, if a friend of yours attends the same church as the decision-maker, ask your friend to introduce you to them so that you can negotiate a time to meet, or alternatively use the opportunity as a face-to-face meeting in itself.

Ask for a meeting

Send a letter explaining what your advocacy goal is and why you would like a meeting. Follow up with a phone call. Often you will not get a meeting with the 'direct target' but with one of their staff (an 'indirect target'). Always meet with the staff, and treat them in the same way you would treat the decision-maker.

Invite them to see the issue or problem themselves

Invite them out of their office to see the issue or problem first-hand and to show them why you need their support. If the decision-maker cannot leave their office, try taking your issue to them – bring people directly affected by the issue to your meeting, show a short video addressing the issue or take a few photographs with you. If you have a friend who knows the decision-maker or someone on their staff, ask your friend to send the letter or make the phone call to support your views.

Preparing for meetings

Step 1: Know your target. Analyze your target using Chapter 3 and this chapter of the Manual.

Step 2: Focus on your message. Choose your main objective and develop a simple message from it:

- **What** you want to achieve
- **Why** you want to achieve it (the benefits of taking action, and/or the negative effects of doing nothing; evidence for the problem – statistics and anecdotes)
- **How** you propose to achieve it
- **What** action you want the target person to take. Write a short position paper to give to the decision-maker, to remind them of your points.

Step 3: Choose the right messenger. Often the messenger is as important as the message. If a friend arranged the meeting, ask them to come to the meeting with you. Or someone directly affected by the issue or problem may be able to 'personalize' the issue and get the decision-maker's attention. Make sure the messenger has appropriate negotiation skills and attitude to result in a positive outcome.

Step 4: Practice! Rehearse your message with colleagues or friends. Ask someone to role-play the meeting, pretending to be the decision-maker, asking difficult questions.

After the meeting

Write to the person who you met, thanking them for the meeting (even if the person was not helpful), briefly repeating your key points and any supporting comments made by the target person, especially any promises to take action. Tell the target person what you plan to do next, promise to keep them informed, and express the hope that you will be able to work together on the issue in future.

Adopted from by ICASO from an adaptation from **An Introduction to Advocacy** *by Ritu Sharma (SARA Project).*

Writing and Delivering a Presentation

Introduction

A presentation is a formal way of delivering a message face-to-face to an audience. It can vary from a brief talk to a small group, to a formal presentation to hundreds of people at an international conference. Giving a presentation can be a nerve-wracking ordeal, but this can be lessened by good preparation and practice. The stages in developing a presentation include planning, writing and delivering.

Advantages

- You can offer *your* selection of facts and opinions.
- You can speak directly to an audience.
- You can show visuals to illustrate your message.
- A presentation is easy and cheap to organize and can have a powerful impact if planned well.
- You can give out copies of your presentation as a written record (unless you need to change the focus during the event).

Disadvantages

- It is not easy to make an interesting, lively presentation.
- A bad environment could spoil your presentation – noise, distractions, bad lighting, etc.
- You could be open to difficult questions from an unpredictable audience.
- Some people are not good at giving presentations (but it is a skill that can be learned).

Skills-Building Activity: Writing and Delivering a Presentation — Option 1

Objective: By the end of the session participants will be able to prepare and deliver a simple presentation

Preparation time: 2 hours

Resources: 'How to...' Handout

Instructions Timing: 2 hours

Introduce the topic and explain the objective of the activity to the participants. Ask the participants to explain what a presentation is and its purpose.

Divide the participants into their original workshop groups and to prepare a five to ten-minute presentation on an advocacy issue (possibly an issue already discussed in the workshop) for the whole group. Each group should decide which member of the group will make the presentation.

Presentations often include:

- a clear message with two to three key points each
- use of visual aids
- clear instructions to the audience on when to ask questions.

Ask the groups to deliver their presentations to the whole group and invite feedback on each, based on the following questions:

- How clear were the messages?
- How persuasive were the arguments?
- How useful and clear were the visual aids?
- How clear and useful were the answers to the questions?
- What could be improved?

Discuss which presentations worked best, and what made them more successful than others. Invite participants to discuss their experiences of delivering presentations, especially as part of advocacy work.

Facilitators' notes

You may want to ask some pairs to do a different activity – preparing some advice (for example, 'Try to...' and Try not to...' tips) for planning and delivering a presentation. Encourage the use of visual aids but emphasize that too many can be distracting. Encourage positive feedback as well as suggestions for improvement.

Skills-Building Activity: Writing
and Delivering a Presentation — Option 2

Objective

By the end of the session participants will be able to identify common mistakes in delivering presentations and know how to avoid them

Instructions Timing: 45 minutes

Ask the participants to brainstorm the various mistakes (for example, forgetting to turn on the microphone, fidgeting, slides in the wrong order, speaking too quickly, etc.) they have seen people make during a presentation. Make a note of key mistakes. Facilitate a discussion around how to avoid each mistake. Encourage practical solutions to the mistakes.

Advice on writing and delivering a presentation

- Keep to your time-allocation.
- Look at the audience. Look at different people in the audience throughout the talk.
- Be enthusiastic! If you are not, how can you expect your audience to be?
- Be animated, but not so much so as to distract your audience from what you are saying.
- Don't read your notes. Use them as prompts but not as a script.
- Stand so that you do not block your visual aids.
- Keep your body language positive. Looking down at your shoes or covering your mouth
- with your hand will only undermine your presentation.
- Try to give yourself time to prepare, write and practice your presentation.
- Try not to use too many visual aids – for example, five for 20 minutes.
- Try to use concrete examples to illustrate concepts, ideas or points.
- Try to check your equipment before the presentation to ensure that everything is in order.
- Try to have copies of your presentation or other documents available as handouts.
- Repeat questions asked if you think others in the audience may not have heard them.
- If you are taking questions, switch off the projector as it can be noisy.
- If you are using visual aids, look at them from time to time so your audience does too.
- Speak up and vary your intonation. Speaking in monotone will likely put your audience to sleep.
- Check the physical environment. Lighting, ventilation and noise can all affect how well your presentation is received.
- Check that your visual aids are clear and interesting.
- Try not to dominate question and answer sessions – give clear concise answers where possible to allow as many questions as possible to be put forward.

How to...Write and Deliver a Presentation

Planning a presentation

- Review the key factors that will affect your presentation, i.e.: Who is the audience? What are their interests and level of knowledge about the topic? How much time has been given for the presentation? Does this include time for questions? Where will it take place? What equipment will be available? How formal will it be? What is the broader context of the event – is the presentation the main event or part of something else? How will the presentation fit?
- Gather the information and materials that will inform the presentation.

Writing a presentation

- Some people just use bullet points as the basis for their talks, while others prefer to have the text written out in full.
- Make sure the presentation has a beginning which introduces the topic, a middle which contains the bulk of the talk, and a summary or conclusion.
- Catch the audience's attention at the start with a quote/anecdote to make the situation human and real for them.
- Identify and list the key points and ensure that each has supporting facts and references. Place these key points in a logical order. Persuade the audience by supporting each statement with quotes, comparisons and examples.
- Make or select visual aids that support your presentation but also add some value – for example, added interest or a 'human angle'.

Delivering the presentation

- Try not to read your written text aloud – try to either learn the text or just use bullet points as a reminder of each point.
- Keep to within the required timeframe.
- Speak loudly, clearly and slowly, and pause to allow people to consider key points.
- Use good visual aids to make the presentation more interesting and easier to understand.
- Make eye contact with the audience – don't look at the floor or at one person in the audience.
- Make the presentation like a conversation – don't talk at people, talk to them.

Dealing with questions

- If the question is complex, repeat and rephrase it so that it is clearly understood.
- Reply to the whole audience, not just the individual who asked the question.
- Think before responding to a question.
- Take a light-hearted approach to sarcastic questions – don't get flustered by them.
- Don't bluff if you don't know the answer. Better to admit you do not know, throw it back to the audience or say you will find out the answer.

Writing and Using a Press Release

Introduction

A press release (or news release) is the standard method of distributing a story to the media (it is also possible to telephone a journalist to suggest a story, if you are sure that it is an interesting story and that it cannot easily be distorted).

- Utilizing the mass media is also an information, education and communication (IEC) method. It only becomes an advocacy method when:
  o The general public has been identified as an 'indirect target' who will go on to influence a direct target – for example, voters who will influence a minister
  o Influential people are the targets of the article or broadcast item – for example ministers reading a newspaper.

The aim of a press release is usually to do one or more of the following:

- Outline an organization's response to an event/action
- Draw attention to an issue
- Provide background information on an issue/event or action
- Give advance notice of an event
- Announce new campaigns and provide progress reports
- Provide a report of a meeting
- Report decisions taken by organizations/groups
- Circulate speeches in advance.

Media organizations receive hundreds of press releases each day, most of which are never used. In order to get the attention of the media, a press release needs to be well written and interesting.

Advantages

- It is a very public form of advocacy which can increase pressure on decision-makers to take action.
- You can offer *your* selection of facts and opinions.
- You can decide *when* to give the information.
- A press release is more permanent than an interview – you have a permanent record of what you said.
- You have time to think before giving your message to a journalist.
- It makes the job of the journalist easier, therefore your views are more likely to be covered by the media.

Disadvantages

- Journalists receive too many press releases, so yours will be thrown away if it is not interesting or if a big news story 'breaks'.
- Journalists can still distort your story, even if it is clear in a press release.
- A good press release requires a good level of literacy, and some understanding of how journalists work.
- It is difficult to involve many people in writing a press release.

Skills-Building Activity:
Writing and Using a Press Release

Objective: By the end of the session participants will be able to explain the purpose of a press release and write a simple press release

Preparation time: 2 hours

Resources: 'How to...' Handout

Instructions Timing: 2 hours

Introduce the topic and explain the objective of the activity to the participants. On flip-chart paper, draw two columns with the following titles:

- When to involve the media in advocacy work
- When not to involve the media in advocacy work

Ask the participants to identify when an issue is appropriate to be addressed by the media, and when it will not help.

Ask the participants to explain what a press release is, its purpose, and how it is different from a position paper or briefing note.

Divide the participants into their original groups and ask them to choose an issue that would be appropriate to address to the media (possibly an issue they have worked on during the workshop). Ask the small groups to write a headline and opening sentence for a press release. Next, ask them to write the remainder of the press release, taking care to explain in detail the five 'W's (Who, What, Where, When and Why).

Ask the participants to describe the kind of journalists or media to whom they would send the press release.

. . . .

143

Ask each group to exchange their press release with another group. Each group should analyze the other group's release by making sure it is interesting and that it answers all the five 'W's. Ask each group to give some constructive feedback to the other group on how the release can be improved. Invite the participants to share any comments or experiences from analyzing and using press releases.

Bring the groups together again. Discuss with the participants what they have learned from the activity.

Facilitators' notes

The main purpose of the groups analyzing each other's press release is to improve analytical skills. The analyzer will benefit more than the person whoses press release is being analyzed, so do not worry if good advice is not accepted. You may want to ask some pairs to do a different activity – preparing some advice (for example, 'Try to...' and 'Try not to...' tips) for writing and using a press release.

Example: Writing and Using a Press Release

- When you are making gains on your issue.

- When there is a burning issue.

- When other methods are not working.

- When looking for allies.

- When you have begun your advocacy work.

- When you do not know how the media works.

- When there are disagreements within the organization on the issue.

- When the timing is not right – for example, due to political circumstances.

- When bigger issues are dominating the media, preventing your issue from getting the attention you think it deserves.

Reference: Adapted from an advocacy skills-building workshop for HIV/AIDS, International HIV/AIDS Alliance, Zimbabwe, July 2001.

Advice for writing a press release

- **Try to** be clear about what you are trying to achieve when using the media in your advocacy work.
- **Try to** research the most relevant journalist(s) and send the release directly to them, using the correct contact details.
- **Try to** co-ordinate all your media work through one person so that there is one person for journalists to contact.
- **Try to** provide a 24-hour contact phone number on the press release if possible, so that you are contactable at all hours.
- **Try to** consult people directly affected by the issue or problem.
- **Try not to** hand write a press release.
- **Try not to** include jargon – if in doubt, explain technical words, abbreviations, initials.
- **Try not to** assume that the journalist knows about your issue – explain the key concepts or attach additional notes.
- **Try not to** quote someone without their permission.

Advice for working with journalists

- **Try to** provide the media with information they need in forms that they can use.
- **Try to** develop good relationships with journalist and be as helpful as possible.
- **Try to** understand the pressures and limitations under which journalists work – and respect their deadlines.
- **Try to** work with, rather than against, journalists whenever possible.

- **Try not to** dictate terms – any good journalist will resent being told what to think or write.
- **Try not to** be defensive, even if challenged, just state your position clearly.

How to...Write and Use a Press Release

Content of the press release

Write a simple and interesting headline – this helps the journalist understand the story immediately. The first sentence should summarize the most important facts of the story, i.e.:

- **Who** is involved?
- **What** is happening?
- **Where** is it happening?
- **When** is it happening?
- **Why** is this happening?

The main part of the press release should then explain these points in further detail. This information helps to persuade the journalist of the facts and importance of the subject, and why it is of interest.

Quotes can often make a press release more interesting and appealing to the journalist, because they may not have access to the relevant people or perhaps because the event has passed. Direct speech quotations from people involved in the issue or activity:

- should express an opinion, fact, or be able to support the view you have expressed in your press release
- allow you to give strong opinions that would look wrong in ordinary text
- give a human dimension to the story
- are better than indirect quotations.

Gain permission from a person affected by the issue, if you are quoting them.

Style

- Short sentences, maximum 20 words.
- Short paragraphs, maximum two to three sentences.
- Copy the format and story structure from a newspaper article.
- Use a good case study or anecdote as evidence to support your point of view.

Presentation

- Use headed paper so that it looks official and professional.
- Make sure that it is well laid out and easy to read.
- Type it, using double spacing, on one side of the paper only.
- Include the date and the name of the organization.
- Provide a contact name, telephone and fax number, and e-mail address as available.
- Give an embargo time (the day/time when the journalists are allowed to use the information). This should include the day, date and time.

Photographs

- Include photographs of key people, places or action mentioned in the press release if you have them.

NOTE: Once a press release has been written it should be distributed to selected journalists and press associations by fax or e-mail – you can telephone them to ask for these numbers/addresses. Once the journalists receive the press release they will consider whether to include the story in their media work. They may also contact you for further information.

Carrying out a Media Interview

Introduction

A media interview is a conversation between a reporter and a person who has an interesting story that can be used as the basis for publication or broadcast. Although interviews are usually used by NGOs/CBOs for education and awareness-raising work, media interviews can be used for advocacy work too.

Media interviews are an advocacy method when:

* The general public has been identified as an 'indirect target' who will go on to influence a direct target – for example, voters who will influence a minister

* Influential people are the targets of the article or broadcast item – for example, ministers reading a newspaper.

In this way, the journalists are (performing the role of being) a means to an end. They will usually ask the questions that they think their audience might want them to ask. Interviews may be reactive or proactive. A reactive interview is when a reporter approaches a person for an interview, particularly if there is large public interest in an issue they are involved with. This kind of interview often takes place when an issue arises which is related to your work or the work of your organization. A proactive interview is one in which a person or organization approaches a journalist directly about an issue that they think is important and would be of interest to the media. A proactive interview requires greater preparation. However, it is an important method for doing advocacy work.

The key to giving a good interview involves knowing your subject well and preparing carefully for the questions that you may be asked.

Advantages

* It can help you get your information to the public, which will help you address the issue.
* It can provide profile for yourself and/or your organization.
* You can reach a wide audience with relatively little effort with your key messages.

Disadvantages

* All exposure can potentially go wrong and expose the person or organization to problems.
* It is important that the person being interviewed knows and uses the organization's point of view as the basis of their answers – otherwise the organization may be discredited.

* Those inexperienced at being interviewed or badly prepared can be caught out by being asked difficult or unrelated questions; this can lose support for your organization and your advocacy work.

Skills-Building Activity: Carrying Out a Media Interview

Objective

By the end of the session participants will be able to explain the key factors in successful media interviews for advocacy work

Preparation time: 2 hours

Resources: 'How to...' Handout

Instructions Timing: 2 hours

Explain the objective of the activity to the participants. Invite participants to describe any experiences of being interviewed by journalists, especially as part of advocacy work.

Explain to the group that they are going to practice media interviews. Ask the whole group to agree on an HIV/AIDS advocacy issue, an advocacy objective and a target audience of influential people. Divide the group into pairs; one person will practice being an advocate, the other person will practice being a TV journalist. Ask the interviewees to prepare responses to possible questions on the issue and journalists to develop a series of questions for them.

Ask the pairs to practice doing a TV interview. Pay attention to:

- Delivering key messages
- Answering questions clearly
- Appearance.

Go around the room and listen to the pairs. Offer feedback and advice on how the interview could be improved. Select random pairs to perform an interview for the group.

Help the whole group to discuss the interviews in relation to key messages, questions and appearance. Include this question: What are the differences between interviews for TV, radio and newspapers?

Facilitators' notes

Make sure that any feedback is constructive (helpful), particularly concerning other people's appearance. Make sure positive feedback is also provided. If there is time, you could arrange for two people to role-play a very bad media interview at the start of the session, followed by a discussion of what the advocate did wrong.

You may want to ask some pairs to do a different activity – preparing some advice (for example, 'Try to...' and 'Try not to...' tips) for being interviewed by the media.

This skills-building activity is most effective if it can take place with real journalists at a radio or television station. Usually the interviews would not be live, as inadequate preparation and planning will have been carried out. However, some 'friendly' journalists can provide technology to record interviews. This allows the participants to see or hear themselves being interviewed, to have the feeling of being interviewed by a real journalist and to visit a media station.

Advice

- **Try to** practice responding to questions; role-play with your colleagues!
- **Try to** show some emotion for radio – it shows you care – but keep it under control!
- **Try to** sit upright with your hands on your lap for a TV interview.
- **Try to** sit still and make sure you do not fidget or swing in your chair.
- **Try to** look happy to be there, and try not to look nervous.
- **Try to** answer the interviewer's questions whenever possible – it is their interview.
- **Try to** be respectful and patient with the interviewer; they will not necessarily know the subject well – but then neither, perhaps, will the audience.
- **Try to** make sure you get your key messages across; if you are not asked relevant questions, add your key messages to the end of one of your most relevant replies.

- **Try not to** bluff! If you don't know the answer to a question – say so or avoid it.
- **Try not to** agree to interviews that could stray off topic that might lead you to make statements about issues you do not know about.
- **Try not to** get angry if a journalist tries to unnerve you – your message will become unclear and the audience will assume you are in the wrong!
- **Try not to** let a journalist 'put words in your mouth' – say firmly, "That is not what I am saying…"
- **Try not to** look at the camera during a TV interview – look at the interviewer.
- **Try not to** use extreme facial expressions during a TV interview.
- **Try not to** wear jewelry or glasses if possible as these can distract the audience from what you are saying.
- **Try not to** try to cover too many points or give too much new information.
- **Try not to** wear patterned clothes on TV.

How to…Carry Out a Media Interview

Preparing for the interview

Find out the answers to the following kinds of questions before any interview:

- Where and when will the interview take place?
- How long will the interview be?
- Who else, if anyone, is being interviewed?
- Will the discussion or interview follow a film or be linked to another story?
- Why have they chosen the subject to address and selected you for the interview?
- Will the interview be broadcast live?

Find out about the journalist who will be interviewing you and:

- Investigate their audience – who are the targets among their audience and what kind of information do you need to get across?
- Contact them and agree the subject to be discussed. Remember that the interview starts as soon as you begin talking to a journalist. There is no such thing as 'off the record'.
- Define the issues clearly. Ask the journalist what kind of questions they will ask and whether they will be supportive or argumentative. Prepare appropriate information beforehand – for example, statistics, facts, a personal story, etc.
- Make a list of key messages you want to get across with three or four key points for each.
- Prepare catchy sentences ('sound-bites') that summarize your message.
- Check that you have up-to-date information on your issue.
- Work closely with your colleagues to develop a draft list of possible questions. Prepare answers to these and practice developing responses to them.

What to do during the interview

- Try and keep calm and composed.
- Remember that the journalist is not your advocacy target – the target will either be influential people listening or watching or the general public as indirect targets.
- Remember that you have the facts you need and that you know more than the journalist does about your area. Keep your answers concise and short, using simple language, without jargon or acronyms. Do not get side-tracked – keep to your key points. If a question strays from your topic, try to move back to the area you want to talk about – for example, "I think what you are asking about is important but the main issue is..."
- If you need time to think about a response, repeat the question before responding.
- Always bring the journalist back to your key messages/points, repetition is a way of getting your message across.

Differences between media

Press interviews tend to be more relaxed than radio or TV interviews. If you make a mistake, say so and answer again.

Radio interviews: In a studio, the studio manager will give you specific instructions about where to sit, how to use the microphone, etc. Sometimes this is done with little time to spare. However, take your time and be sure you understand the instructions. Ask what the first question will be to help you concentrate. You can take notes with you – but try not to rustle the pages. (Brief notes on postcards are often more helpful.) If you make a mistake during a recorded interview, you can ask to try the answer again. If it is live you can say, "Perhaps I might explain that answer", and continue.

TV interviews: The same rules apply as for the radio interview but you can be seen! TV interviews are usually shorter than radio interviews. The interview may be pre-recorded or live.

Preparing a Press Conference

Introduction

The aim of a press conference is to gain media coverage for an issue. It is a meeting held by an organization, or group of organizations, when journalists listen to speakers and ask questions. It usually includes statements by up to three speakers followed by questions from the journalists. So the format is similar to a panel discussion, although the purpose is not to discuss, but to gain publicity for the advocacy issue.

A press conference demands careful organization. Press conferences are expensive and time-consuming to organize, therefore they should only be used if it is the best option. It is also necessary to think carefully about confidentiality, especially when discussing or involving people living with HIV/AIDS, as they may not wish their HIV status to be made public.

Advantages

- It brings many journalists together in one place at one time.
- It encourages all media to publicize a similar message.
- It is a chance to meet journalists face-to-face and learn about their opinions and attitudes to the issue.
- It makes the job of journalists easier, therefore, the issue is more likely to be covered by the media.
- It allows the journalists to ask questions from a panel of speakers.
- It provides an opportunity to correct misunderstanding before journalists write their articles.
- It can save the time of key people in the organization who would otherwise have to talk to each journalist in turn.
- It can make the issue more important.

Disadvantages

- It requires a lot of logistical organization.
- There is always the risk that a bigger story 'breaks', so the journalists do not attend.
- Journalists may turn against your campaign if the press conference is badly focused or unconvincing.
- Time is needed to prepare speakers for a press conference to make sure that everyone agrees and reinforces the key messages and yet everyone contributes something different.
- You cannot predict the questions that the journalists will ask or how your issue will be presented positively by the media.

Skills-Building Activity: Preparing a Press Conference

Objective: By the end of the session participants will be able to explain the purpose and format of a press conference

Preparation time: 2 hours

Resources: 'How to...' Handout

Instructions Timing: 1 hour 30 minutes

Introduce the topic and explain the aim of the activity to the participants. Ask the participants to explain what a press conference is, and its purpose. Ask the participants to prepare and role-play a press conference. To save time, one of the advocacy issues already identified during the workshop can be used.

They should choose roles:

- Writers of announcement of press conference (two people)
- Writers of press pack (two people)
- Chair of press conference
- First speaker
- Second speaker, etc.
- Journalists supporting the advocates
- Journalists opposing the advocates (who ask difficult questions).

The group should quickly agree on:

- The subject of the press conference
- The identities of the speakers.

Allow 20 minutes for them to prepare. There may not be time to write a complete press pack, but at least it should have key headings, with ideas of where to find the information, key issue, etc. Let the participants take their roles and stage the press conference.

After the press conference discuss strengths and suggestions for improvement. Invite any other comments or experiences of using press conferences for advocacy work.

Facilitators' notes

The subject of the workshop need not be a current or even hugely important issue. Suggest ideas if the group is taking long to decide on a subject and speakers. You may want to ask some pairs to do a different activity – preparing some advice (for example, 'Try to...' and 'Try not to...' tips) for organizing a press conference.

Advice

- **Try to** make sure that your press conference does not coincide with an important event that will prevent the journalists or speakers from attending.
- **Try to** call to check whether the announcement has been received – use this as an opportunity to encourage journalists to attend.

- **Try to** choose speakers carefully – they should be interesting, confident speakers and show the human face of the issue/problem.
- **Try to** ensure that each speaker knows your key messages and co-ordinate each speaker to say something different.
- **Try to** capture attention with quotes, comparisons, examples or visual aids such as photographs or graphs.
- **Try to** respond to questions clearly and simply.
- **Try to** make sure that the person chosen to deal with the media is clearly identifiable.
- **Try to** make clear why the different organizations or people are involved if this is a joint press conference.
- **Try to** involve a journalist in advising you on how to organize and plan the press conference.
- **Try not to** have too many speakers – the message can get confused!
- **Try not to** allow speakers to talk for more than 10 minutes.
- **Try not to** start late – journalists have deadlines!
- **Try not to** allow the speakers to answer the questions at great length – warn the chair of this as appropriate.
- **Try not to** let the press conference overrun in time.
- **Try not to** allow the speakers to make conflicting statements – try to rehearse the key points with the speakers before the conference.
- **Try not to** organize a press conference if there is a cheaper, more effective way to publicize the issue.
- **Try not to** hold a press conference if you predict the majority of the journalists will disagree with you or present negative coverage.

How to…Organize a Press Conference

Preparing for the press conference

Give two to seven days' notice of the conference to relevant journalists (consider reporters, columnists, newscasters, editors) and send them an announcement including:

- The purpose of the press conference
- Date, time and where it will be held
- Who will speak at/present/chair it.

Choose a suitable venue including the following as required:

- Easy location, access and adequate parking space
- Low noise levels
- Enough capacity – power points for TV lights, space, layout
- Audio/audio visual equipment
- Room for individual interviews
- Helpful staff with experience of hosting press conferences and with technological expertise.

Choose an appropriate time of day for the majority of media, i.e., so that they can write the story before their deadlines (but you will not be able to fit in with everyone's deadlines).

Select and brief a chairperson and appropriate speakers. Work with them to identify and practice answering questions from the journalists – especially the difficult ones!

Select a press officer/key contact person for the press to deal with.

Prepare a press pack for journalists, including:

- Press release
- Background on your organization/coalition
- A list of the key points you are making and sample quotes
- Recommendations for future action
- A list of contacts whom journalists can contact to discuss the issue
- Any relevant photographs, statistics, graphs, etc. Take special care concerning confidentiality, and brief the chairperson and speakers about these issues where necessary.

Format of a press conference

Welcome, refreshments and distribution of the press pack.

Chairperson:
- Introduces the speaker/s
- Explains arrangements and proceedings
- Points out the press officer/key contact person for all enquiries
- States whether interviews are available afterwards
- Stresses confidentiality issues where appropriate.

First speaker.

Second speaker, etc.

Chairperson takes questions from journalists who then gives them to one of the speakers to answer; other speakers may also add remarks.

Chair thanks the press for attending and closes the press conference.

Individual interviews with speakers.

After the press conference

Send the press pack to the journalists who did not attend.
Make a list of attendees and update your database where appropriate.
Note down the names of journalists who asked particularly important questions/appeared sympathetic to your cause.

PART III
ADVOCACY IN ACTION

Objectives

After going through the module the participants will have:

1. Become familiar with the detailed elements of the Logframe and its applications in results-based planning, implementation and evaluation of advocacy projects;

2. Developed skills in crafting an advocacy project through actual advocacy project designing using the Logframe.

Chapter 7
ACTION PLANNING FOR ADVOCACY

<u>B a c k g r o u n d   N o t e s</u>

Chapter 3 ended with choosing an advocacy project alternative given a certain criteria. In effect what was established was the advocacy project strategy, a combination of objectives, to institute policy change.

In the beginning of that chapter, the Logframe was introduced. It was stated that it is a tool to make further analysis of the objectives, in this case the hierarchy of objectives in an advocacy undertaking, clarifying and further articulating these different sets of objectives into a cogent and lucid tool before, and as a basis for, project implementation and evaluation, and using other elements as well. In short, what is being carried forward   in the Logframe is the whole project design, including the activities, budgets and costs.

This chapter will deal with a) an orientation of the elements of the Logframe, and b) developing skills in crafting an advocacy project design through actual advocacy project designing using the Logframe.

<u>O r i e n t a t i o n   o n   t h e   L o g f r a m e   a n d   i t s   E l e m e n t s</u>
02: 00

<u>I n t r o d u c t i o n</u>

The results of advocacy issue analysis are the ones used in preparing the Logical Framework Matrix. It generally provides the summary of the project design and is ideally between 1 to 4 pages in length with the length depending upon the complexity of the project and how many levels of objectives have been targeted. Further, advocacy projects can be very simple, where the positive factors easily outweigh the negative factors, or they can be very complicated and attritive, requiring a number of mutually reinforcing objectives.

Before, the Logframe included all the lower level set of objectives (the activities), but nowadays it is best if these set of objectives and the budgets and costs were separated from the rest of the matrix. The reasons for his are the following:

- To keep the Logframe matrix focused on the results, purpose and overall objective (results based);

- Activities, budgets and costs should be subject to regular review and change (an ongoing management responsibility), and their inclusion in the

Logframe matrix means that the matrix must be revised more frequently than is often the case to keep it "current and relevant"; and

· Indicative Activities and Budgets and Costs are often better presented separately, using either a Gantt chart format and/or a narrative description of the activities in accompanying text. Indicative Activities should nevertheless be clearly linked to planned results by referencing the activities and budgets and costs in relation to the results.

The basic matrix consists of four columns and four rows, in this case including the activities. The type of information in each of the columns and rows is described in Figure 7.1.

Figure 7.1. Information Contained in the Logframe Matrix

Narrative Description	Objectively Verifiable Indicators (OVI)	Source/s of Verification	Assumptions
Overall objective: The broad development impact to which the project contributes – at a national or sectoral level (provides the link to the policy and/or sector program context)	Measures the extent to which a contribution to the overall objective has been made. Used during evaluation. However, it is often not appropriate for the project itself to try and collect this information.	Sources of information and methods used to collect and report it (including who and when/how frequently).	
Purpose: The development outcome at the end of the project – more specifically the expected benefits to the target group(s)	Helps answer the question 'How will we know if the purpose has been achieved'? Should include appropriate details of quantity, quality and time.	Sources of information and methods used to collect and report it (including who and when/how frequently).	Assumptions (factors outside project management's control) that may impact on the purpose-objective linkage
Results: The direct/tangible results (goods and services) that the project delivers, and which are largely under project management's control	Helps answer the question 'How will we know if the results have been delivered'? Should include appropriate details of quantity, quality and time.	Sources of information and methods used to collect and report it (including who and when/how frequently).	Assumptions (factors outside project management's control) that may impact on the result-purpose linkage
Activities: The tasks (work program) that need to be carried out to deliver the planned results (optional within the matrix itself)	(Sometimes a summary of resources/means is provided in this box.)	(Sometimes a summary of costs/budget is provided in this box.)	Assumptions (factors outside project management's control) that may impact on the activity-result linkage

Adopted and modified from EC.

Steps in Completing the Logframe Matrix

There is a general sequence for completing the Logframe matrix. All the items in the Narrative Description are first accomplished from the top to the bottom; then from the bottom of the Assumptions moving up. Next to be filled up are the OVIs and the Sources of Verification working across from the top. The sequence of the steps is illustrated in Figure 7.2.

It has to be instilled that project designing is an iterative process. As the advocate begins to appreciate the magnitude of the design and its different parts, some parts that have been filled already may be changed entirely or revised.

Figure 7.2. Logframe Matrix – General Sequence of Completion

Project Description	Indicators	Sources of verification	Assumptions
Overall objective			
Purpose			
Results			
Activities *(optional inclusion in the matrix)*	*Not included*	*Not included*	*(optional inclusion in the matrix)*

Adopted from EC.

The First Column: Intervention Logic

1. If-then causality

The first column of the Logframe matrix is called the intervention logic found in the chosen project alternative in the Objective Tree and summarizes the 'means-end' logic of the advocacy project.

Reading from the bottom towards the top the causality can be expressed in the following terms:

a. **IF** adequate **inputs/resources** are provided, **THEN activities** can be undertaken;
b. **IF** the **activities** are undertaken, **THEN results** can be produced;
c. **IF results** are produced, **THEN** the **purpose** will be achieved; and
d. **IF** the **purpose** is achieved, **THEN** this should contribute towards the overall **objective**

Reading from the top, we can say that:

a. **IF** we wish to contribute to the overall **objective**, **THEN** we must achieve the **purpose**
b. **IF** we wish to achieve the **purpose**, **THEN** we must deliver the specified **results**
c. **IF** we wish to deliver the **results**, **THEN** the specified **activities** must be implemented; and
d. **IF** we wish to implement the specified **activities**, **THEN** we must apply identified **inputs/resources**.

An analysis of the Assumptions in column four can be used to test and refine the logic of interventions.

2. Management influence and responsibility

Managers or organizations, networks and partnerships have different degrees of control over the different levels of the advocacy objectives. This can be inferred from the Logframe matrix.

a. Direct control over inputs, activities and the delivery of results, as well as accountability for managing these elements of the project;

b. Influence over the achievement of the project purpose through the way in which the delivery of results is managed; and

c. No direct influence over the contribution the project makes to the overall objective, but is expected to monitor the broader policy and program environment to help ensure that the project continues to be contextually relevant.

3. "Necessary" and "sufficient" conditions

The *necessary* and *sufficient* conditions can be applied in analyzing the vertical logic of the advocacy intervention. These can be seen through the following:

a. Achieving the purpose is *necessary but not sufficient* to attain the overall objective;

b. Producing the project results is *necessary but may not be sufficient* to achieve the purpose;

c. Carrying out project activities should be *necessary and sufficient* to deliver the results; and

   d. Inputs should be **necessary and sufficient** to implement the planned activities.

4. Project components

In complex advocacy projects it may be necessary to group together sets of closely related project results, activities and inputs into project 'components'. To do this, the arrangement of components may be performed through the following classifications:

   a. **By technical focus** (i.e. a policy development component, a policy research and data collection component, a training component, and an information and communication component on FP, TB, Vitamin A and HIV/AIDS)

   b. **By management responsibilities/organizational structures** (i.e research component, planning component, project development component and operations component)

   c. **Geographic location** (i.e a component for each of the ILHZs involved in the provincial CSR + project)

   d. **Phasing of key project activities** (i.e. a component for each of the main stages in he project development cycle: preparation, implementation and evaluation.)

In the example in Figure 3, these components have been "inserted" to make the project more cogent. Reference numbers have been provided to mark the logical flow of the other objectives that belong to a certain component. To make it complete, instead of a single purpose it may be possible to formulate 3 purposes or objectives that pertain to the 3 components.

Figure 7.3.Objective Tree with Components and Reference Numbering
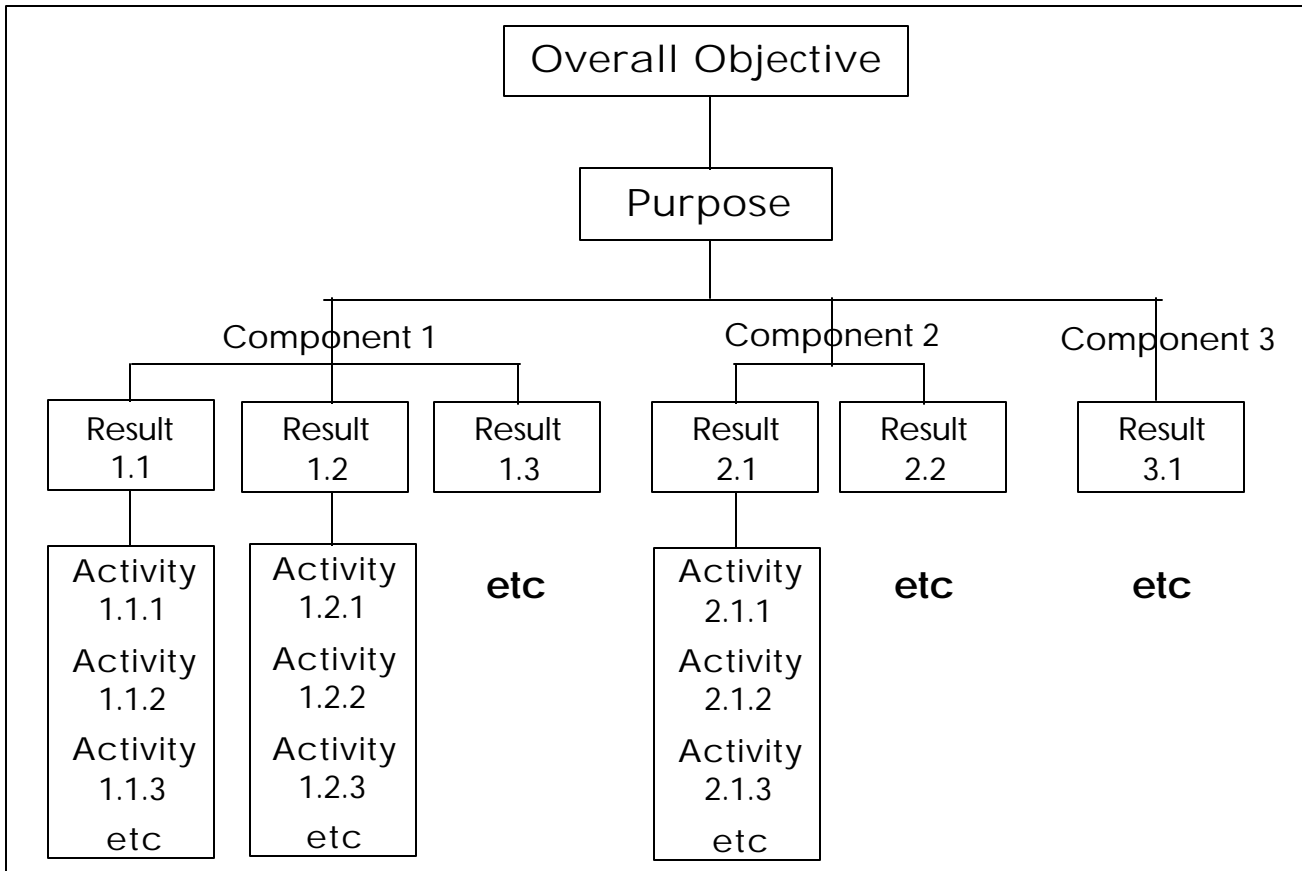
Adopted from EC.

5. Writing clear statements and avoiding a common problem of logic

What is to be observed in writing objective statements in the Logframe matrix is to keep them as clear and concise as possible. Standard writing procedures are the following:

- For the Overall Objective to be expressed as 'To contribute to…';
- For the Purpose to be expressed in terms of benefits to the target group being 'Increased or improved etc………';
- For Results to be expressed in terms of a tangible result such as 'Delivered, produced, conducted, etc…', and
- For Activities to be expressed in the present tense starting with an active verb, such as 'Prepare, design, construct, research …..'
- Figure 28.

6. Avoiding restating lower level objectives as their sum at a higher level objective

One problem that is common is to formulate the purpose statement as a re-statement of the sum of the results, rather than as a higher-level achievement such as the example below (Figure 7.4.):

Figure 7.4. Good and Bad Practice in Formulating Objective Statements

BAD PRACTICE	GOOD PRACTICE
Purpose is <u>sum</u> of results: *"Water treatment is improved and levels of direct discharge into the river reduced"*	Purpose is <u>consequence</u> of results: *"Improved quality river water"*
Results: 1.1 Direct discharge of waste-water into the river reduced 1.2 Waste water treatment standards improved and enforced 1.3 Public awareness of environmental management responsibilities improved	

Adopted from EC.

The Fourth Column: Assumptions

Many external factors have the potential to influence (or determine) the success, or failure, of an advocacy project, but lie outside the direct control of project managers and their organizations, networks or partnerships. They provide the answer to the question: "What external factors may impact project implementation and the long-term sustainability of benefits, but are outside project management's control?"
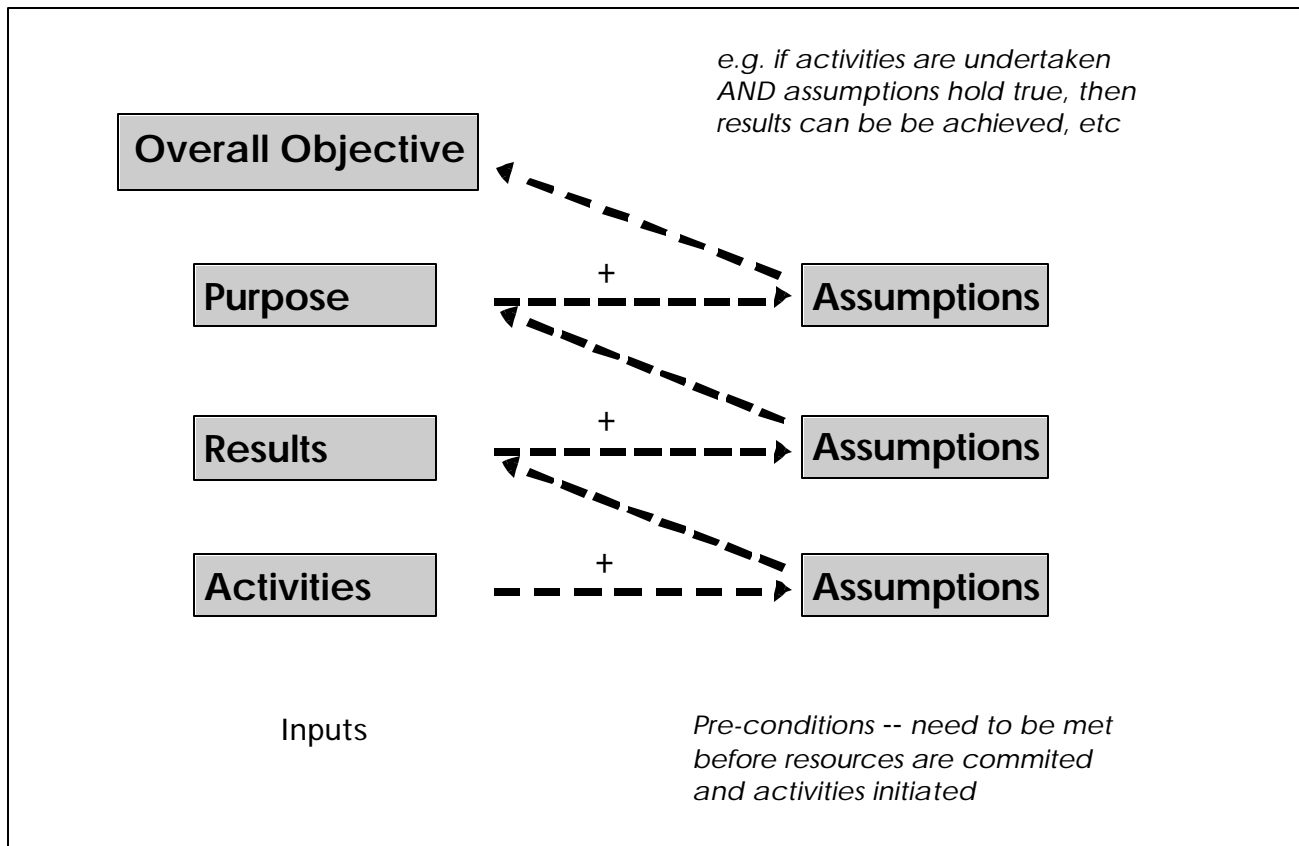
1. Logical arrangement of assumptions

Assumptions form part of the vertical logic in the Logframe and follows the following logical arrangement and is also shown in Figure 7.5:

- Once the Activities have been carried out, and if the Assumptions at this level hold true, results will be achieved;

- Once these Results and the Assumptions at this level are fulfilled, the Project Purpose will be achieved; and

- Once the Purpose has been achieved and the Assumptions at this level are fulfilled, contribution to the achievement of the Overall Objectives will have been made by the project.

Figure 7.5. Relationship Between the Assumptions
and Objective Hierarchy

```
                                    e.g. if activities are undertaken
                                    AND assumptions hold true, then
                                    results can be be achieved, etc

┌─────────────────┐
│ Overall Objective │ ◄╌╌╌╌╌╌╌╌╌╌
└─────────────────┘              ╌╌╌╌
                                     ╌╌╌╌
┌─────────────┐        +              ╌╌► ┌────────────┐
│  Purpose    │ ╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌► │ Assumptions │
└─────────────┘ ◄╌╌╌╌                     └────────────┘
                      ╌╌╌╌
┌─────────────┐        +  ╌╌╌╌           ┌────────────┐
│  Results    │ ╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌► │ Assumptions │
└─────────────┘ ◄╌╌╌╌                     └────────────┘
                      ╌╌╌╌
┌─────────────┐        +  ╌╌╌╌           ┌────────────┐
│  Activities │ ╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌╌► │ Assumptions │
└─────────────┘                           └────────────┘


        Inputs              Pre-conditions -- need to be met
                            before resources are commited
                            and activities initiated
```
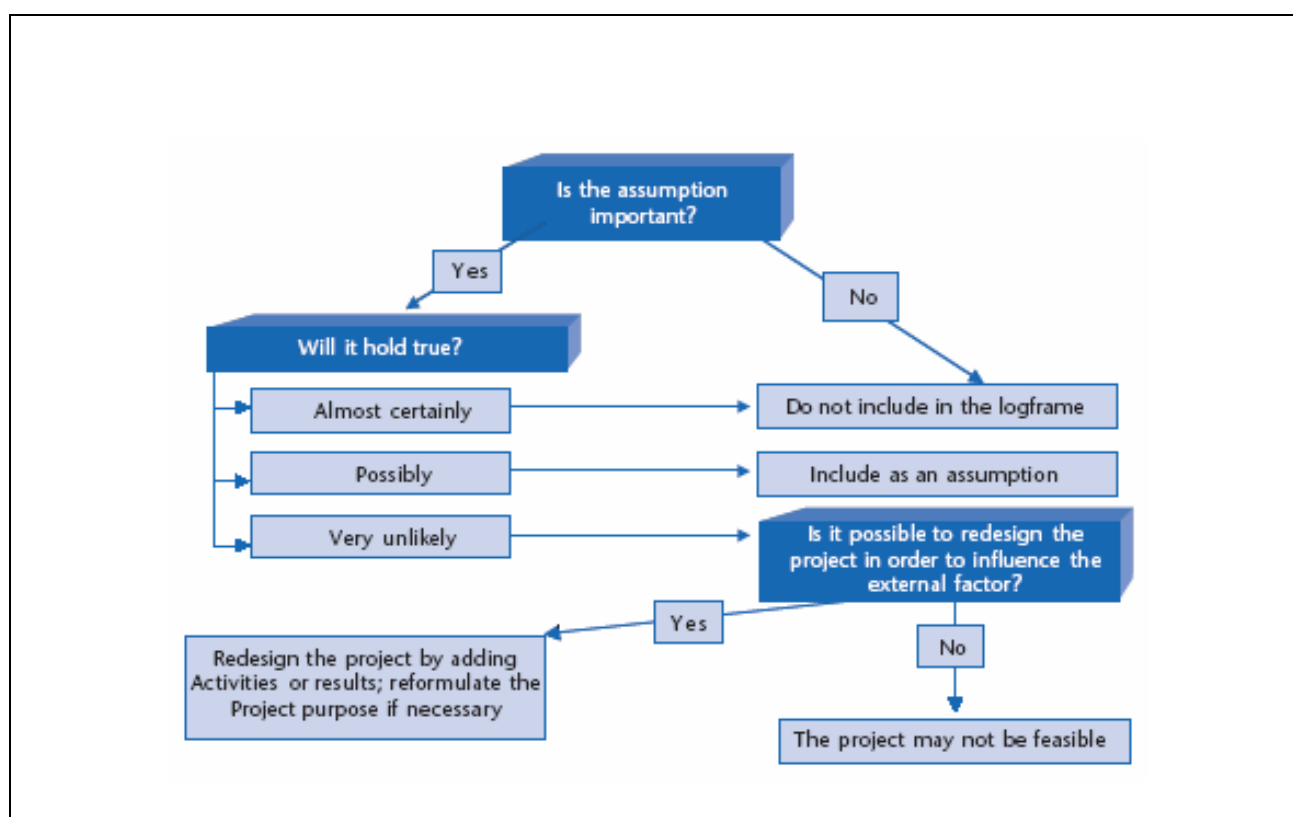
Adopted from EC.

2. Identifying assumptions

Assumptions are usually taken notice of during the advocacy issue analysis phase or in the course of the use of the many different tools of analysis in Chapter 3. Many external factors consisting of political, economic, social, technological, legal, environmental, institutional, supply, demand, and competition issues are factors that may impact on the project environment but over which the project management may have no direct control. There are also other aspects in the strategy selection process (or in choosing the project alternatives) where some of the problems and objectives consisting of other alternatives and choices have been consciously left out because they will affect the scale of the project (in terms of management capacity and resources , for example) but which may nevertheless impact on the chosen strategy.

For example, if the CSR strategy in a municipality includes user fees but intentionally left out a market segmentation study because the latter is too costly, that aspect may impact on the success of the whole project.

3. Taking action on assumptions

Analyzing assumptions so that they hold true will increase the likelihood of success (feasibility) of an advocacy project. The procedure for the assessment of assumptions is shown in Figure 7.6. If there is increasing possibility that an assumption does not hold true, then a redesign of the advocacy project is to be recommended. Otherwise, it may be wise to include other activities precisely intended to help make assumptions hold true. If it is impossible that an assumption be unworkable, then the advocacy project may have to be abandoned.

Figure 7.6. Assessment of Assumptions

Adopted from EC.

The significance of external conditionalities being met is part of assessing the risks to an advocacy project. It is important to really study all the data that are available, including what the different stakeholders think of issues, so that a wider perspective is established. All the assumptions that hold true become part of the project's monitoring and risk management plan.
Examples of assumptions that relate to the objectives are shown in Figure 7.7.

Figure 7.7. Example of Assumptions
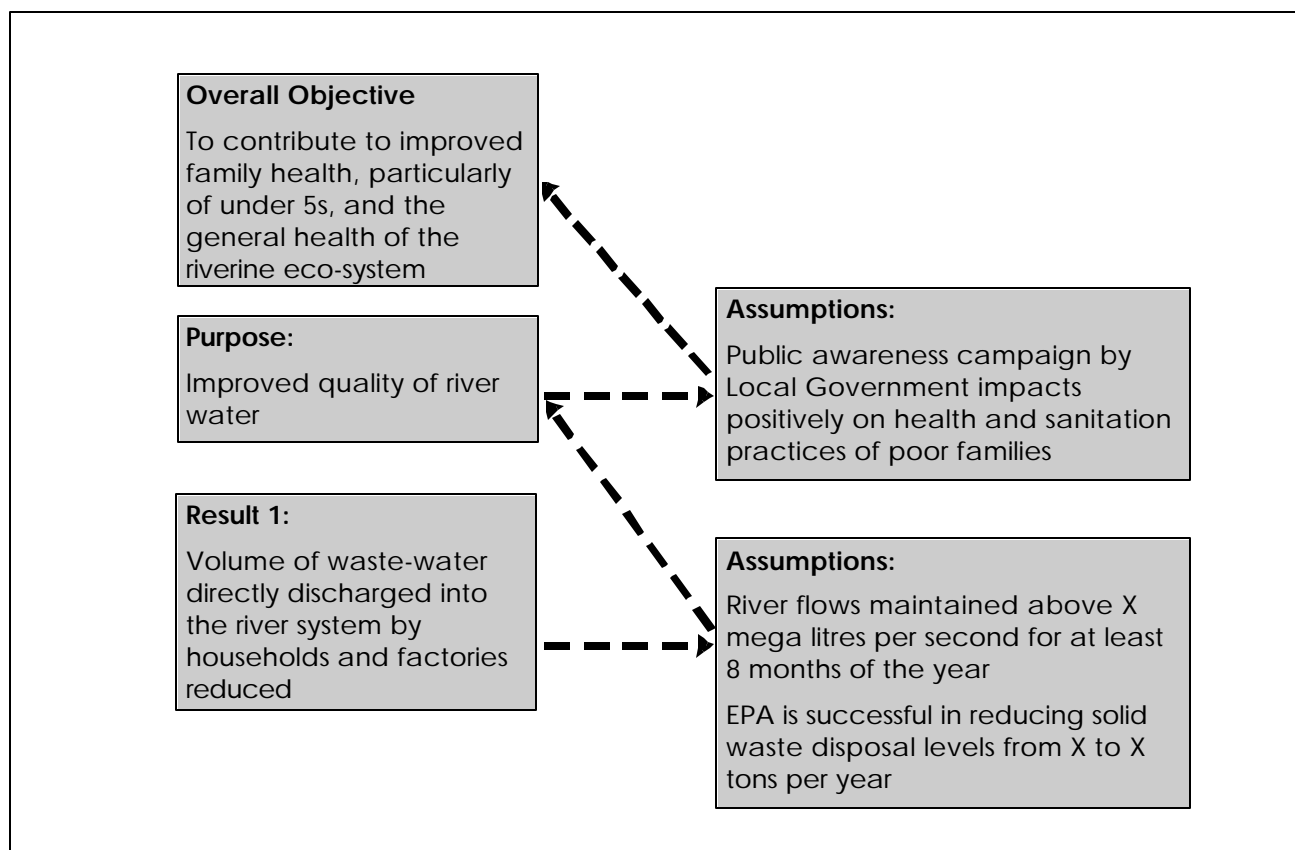
Adopted from EC.
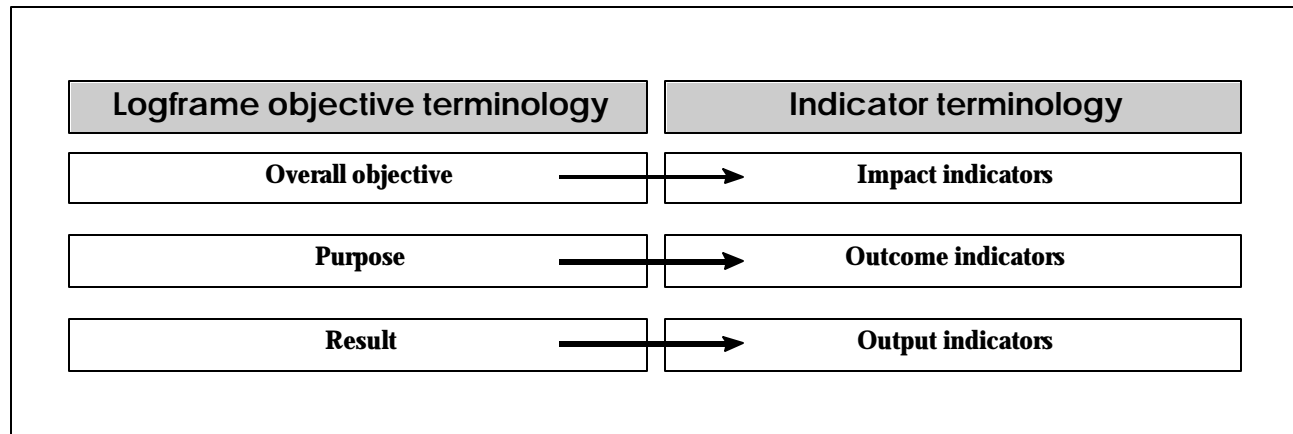
The second and third columns: OVIs and SOVs

1. The horizontal logic in the OVIs and SOVs

The two remaining items in the Logframe matrix are the objectively verifiable indicators and the sources of verification. Because they are read through across, rather than vertically, these two elements are called the horizontal logic of the matrix.

2. Objectively verifiable indicators (OVIs)

OVIs are used to describe the advocacy project's objectives in operationally measurable terms or in measures of quantity, quality ad time (QQT). They are used to describe the advocacy project's "targets", check the feasibility of the objectives, and form the basis of the project's monitoring and evaluation system (Figure 7.8). The questions that have to be answered include the following: "How would we know whether or not what has been planned is actually happening or happened? How do we verify success?"

Figure 7.8. Link Between Logframe and Indicator Terminology

Logframe objective terminology	Indicator terminology
Overall objective	→	Impact indicators
Purpose	→	Outcome indicators
Result	→	Output indicators

Adopted from EC.

The meaning of being "objectively verifiable" is that the information collected should have no variability when collected by different people, and therefore, should not be open to bias or opinion. It is easier to do this that in measuring qualitative change.

There are things to remember when crafting OVIs and they are the following:

a. OVIs should be consistently measurable and costs involved should be acceptable enough.

b. An OVI should also satisfy the standards of being **SMART** (Box 7.1):

Box 7.1. SMART Indicators

· **S**pecific to the objective it is supposed to measure

· **M**easurable (either quantitatively or qualitatively)

· **A**vailable at an acceptable cost

· **R**elevant to the information needs of managers

Time-bound – so we know when we can expect the objective/target to be achieved

---

Adopted from EC.

c. Indicators should satisfy being independent of each other where each only relates to one objective in the Intervention Logic, i.e. to either the Overall Objective, the Project Purpose or to one Result. For instance, indicators at the level of a Result should not be a summary of what has been stated at the Activity level, but should describe the measurable consequence of activity implementation.

d. More than one indicator may be needed for each objective statement, hence it is often necessary that one indicator may provide good *quantitative* information, which needs to be complemented by another indicator focused on *qualitative* matters (such as the opinions of target groups). But also to be avoided is the superfluence of indicators. In other words just enough indicators are needed to help project managers and evaluators to determine whether objectives are being met.

e. OVIs should be defined during the designing stage although it is possible to already define them during the analysis stage. They can be specified further during the implementation stage when the practical information needs of managers, and the practicality of collecting information, becomes more apparent.

3. Source/s of Verification

Identification of the SOV happens at the same time that the OVI is being formulated. It will provide the idea whether the indicators can be adequately measured given the identified resources, effort and time (Figure 7.9).

The SOV should specify:

a. *How* the information should be collected (e.g. from administrative records, special studies, sample surveys, observation, etc.) and/or the available documented source (e.g. progress reports, project accounts, official statistics, engineering completion certificates etc.)

b. *Who* should collect/provide the information (e.g. field extension workers, contracted survey teams, the district health office, the project management team)

c. *When/how regularly* it should be provided. (e.g. monthly, quarterly, annually, etc.)

Figure 7.9. Example of an Indicator and Source of Verification

Project description	Indicator	Source of Verification
Purpose Improved quality of river water	The Indicator: Concentration of heavy metal compounds (Pb, Cd, Hg) and untreated sewerage The Quality: Is reduced by 25% compared to levels in 2003 The Quality: And meets established national health/pollution control standards The Time: By end of 2006	Weekly water quality surveys, jointly conducted by the Environmental Protection Agency and River Authority, and reported monthly to the Local Government Minister for Environment (Chair of Project Steering Committee).

Adopted from EC.

Completing the draft of the Logframe matrix

The Logframe may not be considered competed without the indicative activities and an assessment of the resources and costs required to run the project. Hence, it is necessary to draft the latter almost simultaneously as the more general points are being completed. Project designers need to do this in order that a balance is achieved and a more realistic and feasible project is realized.

Needless to say, a good project design is only achieved through an iterative process where every item is kept on being reviewed and/or revised in the process of project formulation. An example of a Logframe minus the activities and costs is shown in Figure 7.10.

Figure 7.10. Example of Key Elements of a Draft Logframe Matrix

| Project description	Indicators	Means of Verification	Assumptions
Overall objective To contribute to improved family health, particularly 5s, and to improved the general health of the riverine eco-system	- Incidence of water borne diseases, skin infections and blood disorders caused by heavy metals, reduced by 50% by 2008, specifically among low-income families living along the river	- Municipal hospitals and clinic records, including maternal and child health records collected by mobile MCH teams. Results summarized in an annual State of the Environment report by the EPA	
Purpose Improved quality of river water	- Concentration of heavy metal compound (Fb, Cd, Hg) and untreated sewerage; reduced by 25% (compared to levels in 2003) and meets established national health/pollution control standards by end of 2007	- Weekly water quality surveys, jointly conducted by the Environmental Protection Agency and the River Authority, and reported monthly to the local Government (Chair of Project Steering Committee)	- The public awareness campaign conducted by the Local Government positively on families sanitation and hygiene practices - Fishing cooperatives are effective in limiting their members exploitation of fish 'nursery' areas
Result 1 Volume of waste-water directly discharged into the river system by households and factories reduced	- 70% of waste water produced by factories and 80% of waste water produced by households is treated in plants by 2006	- Annual sample survey of households and factories conducted by Municipalities between 2003 and 2006	- River flows maintained above X mega litres per second for at least 8 months of the year - Upstream water quality remains stable
Result 2 Waste-water treatment standards established and effectiveness enforced	- Waste water from 4 existing treatment plants meets EPA quality standards (heavy metals and sewerage content) by 2005	- EPA audits (using revised standards and improved audit methods), conducted quarterly and reported by Project Steering Committee	- EPA is successful in reducing solid waste disposal levels by factories from X to X per year
Etc			

(Adapted from Aid Delivery Methods Vol 1: Project Cycle Management Guidelines, 2004)

<u>A c t i v i t y ,   R e s o u r c e   a n d   C o s t   S c h e d u l e s</u>

An Activity Schedule is a format for the analysis and graphical presentation of project activities. It is logically sequenced and provides information on the expected duration, any dependencies that exist between activities, and the allocation of management responsibility.

Depending on the scale and complexity of the advocacy project itself, it is recommended that   activity specification be only indicative during the planning stage because many conditions may still change. Moreover, activities should be clearly linked to the achievement of results (Figure 7.11).

Figure 7.11. Link Between Logframe, Activity and Resources Schedule
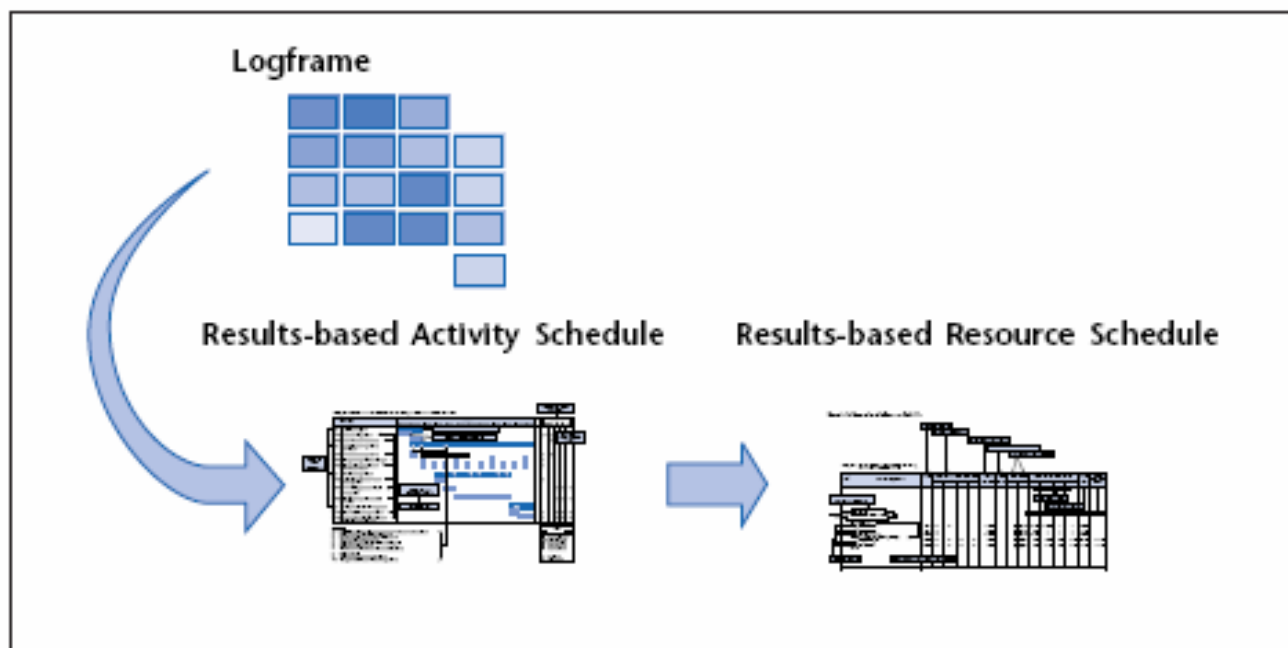
Adopted from EC.

The steps to be followed in preparing an activity schedule are listed in Box 7.2. An example of an accomplished Activity Worksheet is provided in Figure 7.12. The form (Form 7.1) that the participant will use as part of the materials n their workshop is also provided.

Box 7.2. Steps in Preparing an Activity Schedule

Step 1 – List main activities

The Main Activities are those objectives listed under the level of the Results in the Analysis of the Objectives. They may be revised (expanded or reduced) depending upon the scale of the project.

Step 2 – Break the main activities down into manageable tasks

The purpose of breaking Activities down into sub-activities or tasks, is to make them sufficiently
simple to be organized and managed easily. The technique is to break an Activity down into its component sub-activities, and then to take each sub-activity and break it down into its component tasks. This is where individual planning of tasks by project implementers starts

Step 3 – Clarify sequence and dependencies

Once the Activities have been broken down into their details they should be structured in a way that they are sequenced (In what order should related activities be undertaken?) and their dependencies (Is the activity dependent on the start-up or completion of any other activity?)

Step 4 – Estimate start-up, duration and completion of activities

An estimation of the timing involves making a realistic estimate of the duration of each task, and then building it into the Activity Schedule to establish likely start-up and completion dates.

Step 5 – Summarize scheduling of main activities

It will be helpful that a summary of summary of the start-up, duration and completion of the main Activity itself from the individual timings of the tasks and sub-activities.

Step 6 – Define milestones

Milestones are key events that provide a measure of progress and a target for the project team to aim at. They provide the basis by which project implementation is monitored and managed. An example of a milestone is: T*raining needs assessment completed by December 200x.*

Step 7 – Define expertise

From the identification of the tasks, it is then already possible to define the type of expertise required.

Step 8 – Allocate tasks among team

It is a means to define each team member's accountability to the project manager and to other team members. It should take into account the capability, skills and experience of each member of the team.

Figure 7.12. Example of an Advocacy Activity Worksheet

Advocacy Objective: To persuade the school board in District X to implement a pilot family education (FLE) curriculum in secondary grades7 through 9, beginning in the next academic year.

Activity	Resources Needed	Person (S) Responsible	Timeframe
Request to attend the monthly school board meeting to present the idea	Contact with a school board member	Advocacy network chairperson	1 week (Deadline: June 15)
Develop fact sheet for decision makers with data on: • model programs in neighboring districts or constituents • link between FLE and reduction in early pregnancy, school _____ on STD/AIDS	• Data • Format for fact sheet • Paper • Printing capacity	Network's research data team and communication team	3 weeks (Deadline: July 7)
Attend school board meeting to present the argument and secure support for pilot program	• Strong communication • Fact sheet • Brochure/contact information for the network	Advocacy network chairperson and coordinator of communication team	1 month (Deadline: July 15)
Reconvene the network to monitor the activities listed above and evaluate results	Implementation plan	Network chair	5 weeks (Deadline: July 22)

Adopted from EC.

Form 7.1. Advocacy Activities Worksheet

Advocacy object

Activity	Resources Needed	Person(s) Responsible	Time Frame

Workshop to Complete the Logframe Matrix and Activity Schedule

04:00

Divide the participants into their original workshop groups. Ask the participants to build their Logframe Matrix and their activity schedule taking off from their chosen project strategy in Chapter 3 and using other inputs from the rest of the chapters. Clarify questions and other points as the workshops proceed.

Ask each group to present their outputs and ask the other groups to make their own critiques. Make your own critique as well. Summarize the discussion.

Objectives

After going through the module the participants will have:

1. Increased their knowledge and understanding about
    monitoring and evaluation using the Logframe as used
    in Chapters 3 and 7 as the main tool in ascertaining
    whether the advocacy objectives have been
    achieved.

Chapter 8
MONITORING AND EVALUATION*

<u>M o n i t o r i n g   a n d   E v a l u a t i o n</u>

Monitoring is the measurement of progress towards achievement of objectives, and noting which activities are going well and which are not.

Evaluation is about making judgments about quality and impact. Evaluation asks why some activities went well and others did not. It also looks at the impact of activities, on the people affected by the problem or issue, on the organization and anyone else.

There are numerous ways of monitoring and evaluating our advocacy work. The same
methods can be used in advocacy as in monitoring and evaluating other activities.

Methods can be:

- **qualitative** (for example, case studies, stories, opinions, feelings)
- **quantitative** (for example, statistics, numbers).

When monitoring and evaluating, we need to agree on our definitions of success, i.e., agree on the signs that will show us whether the situation is improving or not – these signs are impact **indicators**. Well-written aims and SMART objectives often make it obvious what kinds of evidence (indicators) are needed. For example:

Advocacy objective: To stop police harassment of sex workers (SWs) in Ulaan Baator by
November 2003

Quantitative indicators: Reduction in violence, extortion and arrests

Qualitative indicators: SWs do not fear police, police attitudes more positive.

People affected by the problem or issue are often the best people to choose indicators of success and monitoring and evaluation methods, and undertake the monitoring and evaluation.

Monitoring methods can be simple or complex, depending on indicators and resources. For example, they may include:

- keeping records of anecdotes and conversations with target audiences
- tracking when others have used your arguments or wording in their literature or presentations
- keeping significant letters and e-mails that have been received
- documenting and filing the messages that you have put out, number of meetings held, and invitations to contribute to the issue from key external parties
- carrying out surveys and interviews to determine the impact that your actions have made
- monitoring the media for mentions of your work.

Whatever methods you choose, try to only collect information that will be useful in relation to your indicators.

Evaluating your work does not need to be a complex process. It can be simply analyzing,
discussing and making judgments from your monitoring information. Here are some examples of questions that may be useful:

- Have you achieved your aim and objectives?
- Is the situation better than before? By how much? If not, do you need to change your aim and objectives?
- If you did not achieve what you set out to do, why not? What will you do differently next time?
- Are the people involved in the advocacy work happy with the results? With the process?

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