Advocacy
What's it all about?

A guide to advocacy work in the water and sanitation sector

WaterAid

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Preface

Together with a growing number of international development NGOs, WaterAid is becoming increasingly committed to advocacy work in order to maximise the impact of its programme activities and to meet global water, sanitation and hygiene needs. This commitment is reflected in the corporate aims of the organisation, outlined in its five year strategy. One of these aims is *'to influence national policies and practices so that the poor gain access to safe, affordable, accessible and sustainable water supply, sanitation and hygiene promotion services'*.[1]

An Advocacy Audit carried out throughout the organisation revealed that, while WaterAid staff and their partners are already involved in advocacy work at various levels, there is a need for capacity building to help staff and partners understand, plan and carry out advocacy work more systematically and effectively. Therefore this Sourcebook is intended as a resource for WaterAid staff, for WaterAid's project partners, and for anyone working in the water and sanitation sector who wants to undertake advocacy work. The objectives of the Sourcebook are as follows:

a To explain the reasons for, the various approaches to, and the different tools for planning and undertaking advocacy work

b To provide practical examples of advocacy work

c To provide information on key water policy actors and policy processes and how to influence them at international and local levels

d To provide information on agencies, networks, and institutions engaged in advocacy work in the freshwater sector.

The Sourcebook is divided into five sections:

Section 1 is an introduction to advocacy work, and considers what is advocacy, the reasons for engaging in advocacy work and some of the issues surrounding advocacy. The section closes with an outline of some common concerns about advocacy work. **Section 2** focuses on how to undertake advocacy work, outlining the planning process and describing the various tools and approaches which can be used. **Section 3** discusses the links between advocacy and project/programme work

in the field and issues of capacity building while **Section 4** presents case studies illustrating advocacy initiatives at various levels in different countries around the world. **Section 5** lists some of the available resources, publications, networks and other organisations involved in advocacy work and describes some of the key policy actors in the freshwater sector.

A number of useful advocacy guides and manuals have been produced in recent years by NGOs and other organisations. Rather than trying to 're-invent the wheel', this Sourcebook has drawn on these publications whenever possible, particularly with regard to the planning of advocacy work. They are referenced in the text and a full bibliography is given at the end of the Sourcebook. Section 5.4 also includes a list of suggested further reading on different aspects of advocacy work.

The Sourcebook is presented in a file format so it can be easily updated, sections removed for photocopying, notes added and so on. We intend to continue to document our experiences and that of our local partners in advocacy work and share it through regularly updating this Sourcebook. Cross-references to other relevant sections are marked in the text by the symbol ▶. With the exception of Section 2, the sub-sections are designed as stand-alone chapters, so the Sourcebook can be dipped into in any order. Section 2 follows the steps of the planning process outlined at the beginning of Section 2.1 and will therefore be most useful if read in order.

Case studies, providing examples of advocacy activities, are presented throughout the text in light shaded boxes,

CASE STUDY

while tools and suggested methods for planning and carrying out advocacy work are presented in shaded ruled boxes, as follows:

TOOLBOX

Section 1 Introduction to advocacy

1.1 What is advocacy?

The word advocacy has its origins in law and is defined by most dictionaries as the process of 'speaking on behalf of someone'. Today it has evolved to include work undertaken by development agencies, civil society groups and individuals to bring about change. One writer has defined this as 'the process of using information strategically to change policies that affect the lives of disadvantaged people'.[2] Another calls it 'advocating on behalf of the voiceless'.[3]

Advocacy in this context encompasses a range of activities, all focusing on a process of change. This change may be in policies and laws themselves, in the implementation of these policies, or even in people's awareness of the policies and their own rights. For example, advocacy work could be undertaken to change the policy of a national government to take greater account of communities' rights to participate in the design and management of their water supply and sanitation services. In another case, such a policy may exist but government agencies and their contractors may not be implementing it or may not adhere to standards of implementation agreed, a situation again requiring a process of change through advocacy to ensure enforcement of policies.

On the other hand, local communities may not be aware of a change in policy and therefore may not be claiming the rights that they are entitled to, in which case advocacy work could be directed at changing levels of awareness and understanding about existing policy.

This process of change which advocacy aims to bring about can occur at different levels, from the local community level to the national and international levels. Change at one level may be necessary for change at another. For example, WaterAid's Advocacy Strategy recognises that influences on national government policies comes both from within the country and from external sources such as international funding bodies. It therefore promotes advocacy work at the local, national and international levels in order to achieve change in national policies, practices and programmes. A groundswell of change at the local level may lead to a corresponding change in policy at national level.

Change can also occur at different stages in the decision-making process. Therefore advocacy encompasses working for change in any of the following areas:

- **Who** makes the decisions: participation of civil society, representation of community
- **What** is decided: legislation, policies, budgets, programmes, practices
- **How** is it decided: accountability and transparency; participation of local communities to be affected
- **How** is it enforced or implemented: accountability, awareness raising.[4]

An important aspect of advocacy work is the involvement of communities themselves in advocating for change. This is called by some agencies as rooted advocacy or people-centred advocacy. Advocacy work can therefore be defined as not only bringing about change in policies and programmes (the **'policy dimension'**), but also:

- Strengthening the capacity, organisation and power of civil society and its involvement in decision-making (the **'civil society dimension'**).
- Increasing the legitimacy of civil society participation and improving the accountability of public institutions (the **'democratic space dimension'**).
- Improving the material situation of the poor and expanding people's self-awareness as citizens with responsibilities and rights (the **'individual gain dimension'**).[5]

Effective advocacy needs to include not only the promotion of positive water development initiatives ('good practice' advocacy), but also all four of these dimensions if it is to begin to address the policies and practices that perpetuate poverty and inequitable access to resources.

1.2 Why do advocacy?

1.2.1 Why are NGOs involved in advocacy?

Throughout the 1990s there was a general trend among NGOs, particularly in the North, towards increased involvement in advocacy work. This was due to a number of factors:

- A growing number of partners and Southern NGOs are better placed to carry out project work on the ground, leaving a new role for Northern NGOs

- There has been an increased recognition among both Southern and Northern NGOs of the limited effect of project work without changes in the structures which cause poverty and perpetuate inequality. This applies equally to the global relationships between North and South as well as to the structures within any particular country

- As part of this recognition, there have been increased calls by Southern NGOs for Northern NGOs to do more campaign and policy work, including expressing their solidarity with the poor and their opposition to global North-South inequality through taking issues of concern to their own governments

- There is also a desire on the part of NGOs to widen the impact of their work – 'scaling up'

- The closer relationship between NGOs and donors has provided greater influence opportunities

- As many donors shift towards regionalised and decentralised programmes with direct links to Southern organisations, Northern NGOs are having to convince donors that they still add value to the development effort. For many, this added value lies in the ability to synthesise knowledge and experience from many different countries and based on this, to advocate on key issues

- As this trend has continued, the arenas in which NGOs are considered to have a legitimate policy voice have increased to include not only the public sector, but also the private sector, multilateral agencies and so on

- Advocacy, when rooted in the communities on whose behalf it is undertaken, has the potential to empower those communities and thus complement NGOs' other efforts in that area.[6]

This trend has been described by Hudson as a shift from *development as delivery*, ie focusing on delivering knowledge, training, funds and so on, to *development as leverage*, using knowledge, and in some cases funds, to alter policy.

WaterAid, like many similar agencies, has been part of this trend. It recognises that direct project work alone is not sufficient to achieve the organisation's first strategic objective of providing safe water, sanitation and hygiene promotion services in the countries where it works. It therefore has a second strategic objective, *'to influence national policies and practices so that the poor gain access to safe, affordable, accessible and sustainable water supply, sanitation and hygiene promotion services'*.[7] In line with the direction taken by many other NGOs, WaterAid seeks to maximise its impact by influencing other organisations to meet the global water need, at local, national and international levels.

As for most NGOs, WaterAid's advocacy work is complementary to, not a substitute for, direct project work. Indeed, advocacy work is often dependent on good project work, for the provision of accurate, community-based information, experience and lesson-learning. In turn it provides opportunities for empowerment and capacity building at the project level for people-based advocacy actions. Advocacy work is therefore, an integral part of project and programme work at various levels.[8]

▶ Section 3.1: Mainstreaming advocacy

▶ Section 3.2: How does it fit? Linking local, national and international level advocacy

1.2.2 Why advocacy on water issues?

There is little doubt that the world is facing a global water crisis:

'Global freshwater consumption rose sixfold between 1900 and 1995 – more than twice the rate of population growth – and the rate of increase of consumption is still growing ... The Stockholm Environment Institute has estimated that... the proportion of the world's population living in countries of significant water stress[9] will increase from approximately 34% in 1995 to 63% in 2025. Those living in poorer countries in Asia and Africa, with low and unreliable rainfall and high levels of

utilisation of the total water resource, will be most at risk of water stress impacting severely on their lives and livelihoods'.[10]

The growth in consumption brings with it associated problems of degradation of the freshwater resource due to pollution, over-abstraction from aquifers, and problems of managing the competing uses for water. The Global Water Partnership is unequivocal:

'The water crisis is mainly a crisis of governance. The present threat to water security lies in the failure of societies to respond to the challenge of reconciling the various needs for, and uses of water. The Vision [for Water Security in the 21st Century] can only be achieved if the institutions that determine the management and use of water resources are effective'.[11]

Water and sanitation are key areas of concern. Some 1.1 billion people (a sixth of the world's population) do not have access to a safe and affordable water supply, while 2.4 billion (a third of the world's population) do not have access to adequate sanitation. A large majority of those who do not have access to these basic necessities belong to the poorest sections of society, whether in urban or rural areas. In the water and sanitation sector especially, the crisis of governance translates into an inability of government and society to prioritise the needs and requirements of the poor. This is not surprising, given the relative powerlessness of the poor, in urban and rural areas, compared to the urban and rural rich.

Targets have recently been set to improve this situation. The following targets were set in the *Framework for Action* prepared by the Global Water Partnership for the 2nd World Water Forum in March 2000:

■ *The proportion of people not having access to hygienic sanitation facilities to be reduced by half by 2015*

■ *The proportion of people not having sustainable access to adequate quantities of affordable and safe water to be reduced by half by 2015.[12]*

The UN General Assembly Millennium Summit in September 2000 agreed a new international target to halve the number of people without access to safe and affordable water. This target is in line with the other international development targets to halve world poverty by 2015, and will hopefully focus political-will on the problem. There is however no agreed target for sanitation.

Besides the paucity of targets, there are a number of key issues that have hindered effective developments in the water and sanitation sector in the past (many of which apply to the freshwater sector as a whole), and will continue to hamper the achievement of these targets in the future:[13]

■ Capacity

There is limited capacity for planning and implementing water service developments in a sustainable way. In many countries, decentralisation policies have left regional or district authorities with the responsibility for water and sanitation service provision and development, which they do not have the capacity to manage, nor the financial resources to undertake. The policy of letting the private sector take over management and operations of water supply and sanitation services currently being implemented in many countries does not always take into account the capacity of the private sector, particularly in remote or rural areas, to absorb these functions and responsibilities, nor of the public sector's capacity to regulate and monitor.

■ Participation

The failure to involve local communities and their representatives, particularly the poor and vulnerable, in the planning and management of water and sanitation service provision and water resource management is a key stumbling block to progress. Little attention has been given to the implications of the Demand Responsive Approach in poor communities. Furthermore, as children continue to be most vulnerable to the avoidable diseases that result from lack of water, dirty water and lack of sanitation, and women continue to spend many hours each day collecting domestic water, understanding the gender aspects of water and sanitation services provision remains a key issue that must be addressed in order to achieve the targets outlined above.

Investment

Many sources agree that there has been insufficient investment in the freshwater sector, with the resulting downward spiral: low cost recovery leads to insufficient income from services, which leads to low investment, which leads to poor service, which leads back to insufficient income.[14] However, apart from attempts to mobilise international private investments and development assistance, there is now a growing consensus favourable to full cost-recovery for water supply and sewerage services. How this is to be achieved, and what consequences it will have, especially on the poorer sections of society, needs to be well understood.

Hamida Begum makes a sanitation platform from brick chips, cement and sand in Udakhali, Bangladesh. She is paid 15tk to make one slab (73TK = £1).

WATERAID/ABIR ABDULLAH

Range of actors in the sector

There is a wide range of actors involved in the water and sanitation sector at all levels. Nationally, water tends to cut across the remit of several different government ministries, while donors and multi-lateral agencies also play a key role. Internationally, external finance institutions, UN and other international organisations, and global institutions such as the World Bank and the Global Water Partnership, all contribute to the development and implementation of water policy. Locally, NGOs, private sector companies and local government agencies are all involved in water service provision. Rarely is there effective co-ordination and collaboration between these different agencies. There is often also competition between the different water sectors over the freshwater resource – for example between domestic, industrial and agricultural consumption.

The shortage of the resource and the need for management

The increasing demands on the freshwater resource, coupled with the ever-degrading ecosystem, means that the resource is in urgent need of effective management. This management needs to take place at both national and international levels, encompass local watershed and catchment management as well as cross-border conflicts over shared water resources.

Water and sanitation projects alone cannot overcome these blockages to progress. NGOs involved in water development need to engage in the debate about these issues, at local, national and international level, using their knowledge and experience to inform and influence the future development of water policy and water and sanitation programmes.

ADVOCACY: WHAT'S IT ALL ABOUT

1.3 Rooted advocacy and the question of legitimacy

In response to the increasing involvement of NGOs in advocacy work, on any issue, some critics have raised concerns about the question of legitimacy particularly, although not exclusively, with regard to Northern NGOs advocating on behalf of people in the South. These concerns spring from a recognition of the potential danger for those engaged in advocacy to make claims on behalf of others which they cannot substantiate.

Although such concerns are valid, they should not deter NGOs from engaging in advocacy. The challenge for advocacy practitioners is to be able to respond to these concerns and satisfy themselves and others that they do have legitimacy on the issue on which they are taking a stand. Hudson[15] suggests that NGOs focus on accountability 'downwards' to communities, and not just, as is most common, 'upwards' to managers and donors. He calls these links 'legitimacy chains' and suggests that a two-way process can be fruitful: *'trying to look outwards and upwards from the Southern grassroots to broader debates, and trying to think downwards from policy issues back towards Southern experience'*.[16] This suggests a symbiotic relationship between policy and grassroots work in which each side is enriched through contact with the other.

The Institute for Development Research has drawn up a list of key questions which organisations can ask themselves to explore their legitimacy:

- On whose behalf does our organisation speak?
- On what authority or basis does our organisation speak?
- Who grants us the authority or right to speak?
- How is this authority granted?
- How can we increase our legitimacy?[17]

Roche and Bush[18] also have a list of questions for NGOs to consider with regard to their relationship with their 'client', ie those on whose behalf they are advocating:

- If 'the client' is not already working with the NGO, how are they contacted to ensure the NGO is acting appropriately on their behalf?

- To what extent have NGOs who are involved in development projects explained their advocacy activities to the poor people they are working with?
- Has there been any attempt to get them to rank advocacy work versus other activities they might see are more relevant?
- What effort has been made to provide feedback to the same people about the results of advocacy work?
- What effort has been made to seek their assessment of results?

These questions, while most obviously relevant to Northern NGOs advocating on behalf of communities or partners in the South, also apply to Southern organisations, however grassroots-based they may be, in their own relationships with communities.

International, northern-based NGOs such as WaterAid generally claim their legitimacy through their involvement in project work in the South.[19] For NGOs involved in project work with partners and grassroots communities, their direct experience often throws up issues and concerns that feed into the policy debate. Projects may serve as examples of good practice, and may be supported by further research and analysis at national or international level. Project level needs assessments and baseline surveys may also generate policy concerns directly affecting the lives of project beneficiaries.

Whatever the impetus for advocacy, the need to be able to prove the legitimacy 'chain' still applies, and has led to a call for what has been termed 'rooted advocacy'. This has been defined by some WaterAid staff as advocacy work which is *'rooted in the experience of primary stakeholders and which enables those stakeholders to analyse and understand their experience and to engage in the influencing process'*.[20] This definition brings into the advocacy process the concept of community empowerment, suggesting that advocacy work should involve local communities as much as possible and empower them in the process, in the same way as practical project work aims to do. This was echoed at one advocacy training workshop: when one group defined advocacy work as 'to advocate on behalf of the voiceless', others

responded with the definition that *'advocacy is organising the voiceless so they can use their own words'*.[21]

Within the water and sanitation sector, community management is sometimes mistaken for community empowerment. Indeed, empowerment builds up from community management experiences of operating and maintaining water supply systems and promoting hygiene and sanitation practices. For community management to become a stepping stone to community empowerment, NGO and CBO community workers in the water sector need to also:

a   Create opportunities for community members and their leaders to continuously reflect upon and learn from their experiences in operating and maintaining services, and link it to how they could strengthen this collective capability to act upon other needs and services that affect their lives

b   Create opportunities and arenas for community members and their leaders to become aware of, understand, question and analyse the impact of government policies and programmes on their lives.

c   Create opportunities for and strengthen capacities of community members and leaders to actively participate in public consultation processes around issues and services that impact on their communities.

d   Enable and facilitate linkages between different communities

e   Provide skills training opportunities especially to community leaders to strengthen existing political skills in negotiation, community organising, alliance-building, public speaking

f   Share information, learning / analysis of social and sectoral trends and their national and global political and economic contexts.

The challenge for NGOs engaged in advocacy is to be able to prove to their critics, donors, 'client communities' and themselves that legitimacy chains exist which link them to the issues and people on whose behalf they speak, and to ensure that in the process they are increasing the capacity of their 'client communities' to undertake advocacy on their own behalf.

▶ **Section 3.3: Building capacity**

1.4   Politics and power

From the definitions of advocacy in Section 1.1, it is clear that advocacy is all about change, and in most cases, that change involves a shift of power. Issues of power and politics are therefore inextricably linked to advocacy work, in spite of some actors' reluctance to 'get involved in politics'. As one commentator puts it: *'the question of 'power' and the changing of power equations is an essential aspect of the process of advocacy. It is therefore a process that is intimately linked with the world of politics'*.[22]

Many policy issues that NGOs wish to advocate on have political ramifications and in some cases the stumbling block to policy change in a particular sector is far more political than technical. For example, flood management for the Sudanese Nile is increasingly difficult for the Sudanese government because the Ethiopian government regards hydrological data relating to the Nile, as it runs through Ethiopia, as a security issue and refuses to release it. In this way, political considerations prevent a 'technical' policy solution being sought[23]. Similarly, NGOs working for policy change in the water and sanitation sector in Southern countries may well find that the obstacles to policy change don't lie with the Ministry of Water but with the Ministry of Finance and centre around the distribution of funds through the national budget, rather than around the technical and sectoral issues on which they have been lobbying. If we are to tackle the root causes why many millions of people lack access to adequate water supply and sanitation, we need to understand the political and economic context in which sectoral policies are drawn up and the power relationships which affect them.

The approach taken in advocacy depends to a large extent on the way that political change occurs in the context where the work is taking place. Gaventa describes three different 'dimensions of power', which each require a different approach.

■   The first dimension is one in which power is *'a product of who wins and who loses in a relatively open political system'*. In this dimension, in order to achieve political change, advocacy groups only need to learn how to advocate, and how to win.

TOOL FOR ANALYSING POWER RELATIONSHIPS[25]

This exercise helps participants to analyse the power relationships at a range of levels from the local to the national. It helps those involved in advocacy to understand the significance of power (and thus of politics) in all aspects of society. This analysis then forms an important foundation for their advocacy strategy and informs the planning and implementation of their advocacy work.

Part 1 Using the table on the following page, participants are asked to tick whether each relationship is equal; unequal but free competition; unequal – not expected to be equal but can improve; or unequal and unjust.

Part 2 Using the same 18 relationships from the table, participants are then asked to score each relationship from 1 to 10, according to how 'powerful' they feel their organisation is to change that power relationship.

Part 3 The results are then analysed by the group of participants. This analysis may include highlighting relationships which stand out as unequal and examining the causes; considering which relationships have an impact on the organisation's activities; and understanding where the organisation's strengths may lie. Links can be made between relationships that are considered unequal and unjust, which also have a high score in the second exercise. These may then form potential areas for the organisation's effort in the future. Even if an organisation is powerless in a key area, the understanding of that powerlessness is an important feature of the organisation's planning, to ensure that plans are based on a realistic assessment of the situation.

■ In the second dimension, power is not related to who wins and who loses, but rather about *'determining what issues and actors get to the table in the first place'*. In this context, the disenfranchised need to be empowered to enter into the policy arena before they can be in a position to influence the policy agenda.

■ Finally, in the third dimension, those in power work to prevent conflict arising in the first place, by information control, moulding of political values and so on, so that powerlessness not only becomes structural, but *'embedded in people's consciousness'*. This dimension requires a 'transformative' approach to power and powerlessness. Gaventa concludes that the three dimensions often overlap in a given society, and hence that a combination of all three approaches is often necessary.[24] Therefore it is important to understand the political system in which policy decisions are made.

Issues of power and politics are not only relevant at the national and international level. Local politics can affect policy change at the community level in much the same way. In order for advocacy to be effective then, NGOs need to understand the power relationships at all the levels at which they are working. At the same time there is a need to avoid 'party politics' (association with any one political party or group), so that the work of the NGO cannot be undermined by accusations of partisanship.

Table 1	Analysing power relationships exercise				
		Equal	Unequal, but free competition	Unequal, not expected to be equal, but can improve	Unequal and unjust
Family					
1	Husband – wife				
2	Parent – child				
3	Male – female				
Community					
4	Urban – rural				
5	Educated – illiterate				
6	Race/ethnic/caste/ tribal/language groups				
7	Clerics – non Clerics				
8	NGOs – groups they work with				
9	Funding agency – partner group				
10	Male – female				
Market					
11	Transnational corporations – consumer				
12	Large local company – consumer				
13	Small neighbourhood store – consumer				
14	Mass media – consumer				
State					
15	Government in power – citizen				
16	Bureaucrat – citizen				
17	Judiciary – citizen				
18	Enforcement authorities – citizen				

A similar exercise can be carried out to examine the specific relationships relevant to proposed advocacy work – for example the relationship between the relevant government department, the private contractors and the local community, in the context of local government's contracting out water supply services to private or NGO contractors.

A final aspect of politics that should be taken into account when planning advocacy work is the internal dimension. NGOs have to be accountable to their donors, their Board of Trustees, and their public supporters (the 'upwards' accountability referred to earlier), some of whom may not favour advocacy work. Concerns about their opinions may influence the stance that an NGO takes on a particular policy issue.[26] These pressures need to be taken into account when planning advocacy work. The increasing closeness of NGOs to donors in recent years, while providing greater opportunities to influence, can also be a 'mixed blessing', as the donors may in turn influence (either explicitly or implicitly) the policy agenda of the NGO.[27] Again, NGOs need to be aware of these constraints in order to overcome them where possible.

► **Section 2.3.2: Analysing the context: politics and power**

ADVOCACY: WHAT'S IT ALL ABOUT

1.5 Common concerns about advocacy work

This section outlines some of the questions and concerns which development workers have about becoming involved in advocacy work, and presents some brief answers, together with references to other Sections of this Sourcebook for further information. The first five points were raised by WaterAid Country Programme staff during the planning of this Sourcebook, while the final four are taken from Tearfund's Advocacy Study Pack.[28]

Should advocacy work be a separate 'project'?

For many NGOs, the material for their advocacy work, if not the impetus itself, comes from their analysis and understanding of their experience in field projects. As discussed in Section 1.3, if advocacy becomes too distanced from the grassroots, it may be in danger of losing its legitimacy. In many cases then, it is helpful to consider advocacy as an integral part of project and programme work, within which there may be distinct advocacy activities (including advocacy strategies and plans). However in some specific cases, advocacy may be a separate project that has grown out of operational projects, or out of the constraints that some of those projects face. Some advocacy work is not directly linked to project work at all, but takes place as a separate project, for example contributions to government or donor strategies. However, it remains informed by the experience of and links with grassroot communities.

▶ **Section 3.1: Mainstreaming advocacy**

How can national and international advocacy work be linked?

This question is related to the previous one and reflects some of the concerns of those in the field about advocacy undertaken in the North or at the international level. The legitimacy chains mentioned in Section 1.3 above are vital to ensure that advocacy work remains rooted in the needs and interests of the grassroots. However, as discussed in that Section, the relationship should be a symbiotic one in which there is a two-way flow of information and policy concerns. There may be times, for example, when a policy issue that is currently on the international agenda can be fed to the project/grassroots level for action, as well as advocacy topics moving in the other direction from the grassroots to the international level. NGOs in the North and the South each have a particular audience that they can influence and a group of stakeholders to which they have access. In the South, these include national governments, regional offices of international donors and local communities. Northern-based NGOs have access to international donors and policy institutions, northern governments with aid programmes in the South, and northern media, politicians and opinion formers who play a role in influencing policy makers. Collaborative advocacy between local, national and international level groups can link the comparative advantages of those in the North and those in the South to have the greatest impact.

▶ **Section 3.2: How does it fit? Linking local, national and international level advocacy**

▶ **Section 1.3: Rooted advocacy and the question of legitimacy**

How can we tell if our advocacy activities are making a difference?

Assessing the impact of advocacy work is perhaps more daunting than evaluating the effect of field programmes, particularly technical activities which may easily lend themselves to quantitative analysis. Nevertheless, there are a number of techniques and approaches that can be used to monitor and evaluate advocacy activities, see Section 2.11.

▶ **Section 2.11: Planning for monitoring and evaluation**

How do local communities fit in to advocacy work?

Local communities are central to advocacy work as key actors, and as sources of information and analysis. Community members are often the most powerful advocates on issues that affect them because they can speak with direct experience of the issue and its consequences. They can be involved as direct actors, lobbying their local government, and in capacity building, encouraging other local communities to take action themselves.[29] Local communities' role in advocacy at national and international level appears at first sight to be less obvious. However, if our advocacy work is to be

'rooted', as discussed above, the communities on whose behalf we are acting should be empowered in the process. At the very least, these communities should be aware of the advocacy carried out on their behalf; at best, they can be actively involved in a range of activities, from prioritising issues to participating in national and regional meetings. The questions for the 'client' listed in Section 1.3 provide some pointers for this involvement.

▶ **Section 1.3: Rooted advocacy and the question of legitimacy**

▶ **Section 3.3: Building capacity**

Where can we get support for our advocacy work?

There are an increasing number of NGOs engaging in advocacy work, and a growing number of resources, training manuals and guides on how to do advocacy. Working in alliance with others on a particular advocacy activity can be a source of support, while many international NGOs have dedicated advocacy staff members who can provide support to development workers and partners in the field. Section 5 provides some pointers for further reading, networks, contacts and other resources.

▶ **Section 5: Useful resources, networks and contacts**

▶ **Section 3.2: Linking local, national and international level advocacy**

Our organisation is too small and can't make a difference

Advocacy can take place at various levels – it does not have to involve big international meetings with the World Bank. There are many opportunities for small organisations or groups to become involved in advocacy at the local level. A great deal of advocacy work is also done in alliance with other organisations, to share the workload, pool resources and gain access to a greater range of skills and contacts.

▶ **Section 2.6: Identifying allies**

We don't have enough knowledge on the subject to undertake advocacy work

A thorough understanding of the subject is vital for effective advocacy work. However, there are many ways of gaining knowledge about a policy issue that are accessible to most organisations. Working in alliances helps to pool all the available knowledge, while basic research can not only help to inform policy work but enhance project work as well.

▶ **Section 2.3: Finding out more**

Advocacy is confrontational

There is a wide range of approaches to advocacy work. The choice of approach depends on the issue, the advocacy 'targets' and the best way of achieving change in that context. In some cases, there may be one or two officials within a 'target' institution who are already sympathetic to the advocacy cause, and who only need support and well-researched information in order to take the case forward. In other cases, a more focused campaign, perhaps through a demonstration of public concern, may be required to achieve the desired policy change. Campaigning is often misunderstood to be confrontational, but a campaign is simply a set of activities that focuses attention on an issue, sometimes through mobilising the general public, and does not automatically involve confrontation.[30]

▶ **Section 2.8: Choosing approaches and activities**

What about the dangers of speaking out?

In some countries, particularly those with a repressive regime, speaking out on issues may endanger personal safety, either of those who speak or of those on whose behalf they are speaking. These factors must be taken into serious consideration when planning advocacy work, and the consent of those who may be at risk must be obtained before any action is taken. Working in alliance with other organisations can help to reduce the risk to individuals. Another alternative is to work anonymously through external organisations (for example those with an international profile), who can put pressure on decision-makers without endangering themselves. An understanding of politics and power can help in this analysis.

▶ **Section 1.4: Politics and power**

Section 2 How to do it

2.1 Where to start? The advocacy planning cycle

Planning advocacy work is similar to any other project or programme planning. We need to work out what our objectives are and how we can achieve them; define what activities we want to undertake; and assign responsibilities for the tasks involved. Good planning is as essential for effective advocacy work, as it is for field work or any other activity.

Planning and implementing advocacy work involves the following steps, sometimes termed the *advocacy planning cycle*:

- Identifying the *issues*: what do we want to change?
- Finding out more through *analysis*: analysing the issue; analysing the context and key actors; understanding the time frame
- Setting *objectives*
- Identifying the *targets*: who do we want to influence?
- Identifying *allies*: who can we work with?
- Defining the *message*
- Choosing advocacy *approaches* and *activities*
- Selecting *tools*
- Assessing what *resources* are needed
- Planning for *monitoring* and *evaluation*
- Drawing up an *action plan.*

To plan your advocacy initiative, you need to work through each of these steps. When you have completed them, you will be able to draw up an action plan. The following sub-sections of this Sourcebook discuss each of these steps in turn. The steps make up a planning 'cycle' because it should be an interactive process: ongoing monitoring and periodic reviews of progress lead to adjustments in the plan, to take into account any changes in external or internal circumstances.

2.2 What do we want to change? Identifying the issues

The first step in planning advocacy work is the identification of the issues we wish to tackle. There are many issues in which change is required if we are to live in a more just and equitable world. The process of selecting an issue for advocacy work therefore involves the prioritising of a number of concerns. First of all, we need to be able to demonstrate that it is of importance for those on whose behalf we claim to be advocating (see Section 1.3: Rooted advocacy and the question of legitimacy). We also need to fit into the overall guidelines of the organisation we are working for and those of our partners. Some international organisations have selected key issues or broader themes into which the organisation's advocacy activities should fit. In many cases these themes have been selected as part of a two-way process of discussion and debate between the field programmes and the northern-based part of the organisation (see Box below)

▶ Section 3.2: Linking local, national and international level advocacy

The Action Guide for Advocacy and Citizen Participation suggests some guidelines for the selection of advocacy issues (the focus of the Action Guide is on general advocacy for women's empowerment, but most of the criteria can be applied to advocacy on water-related topics). According to the Guide, a 'good' issue should have at least some of the following characteristics:

- Result in real improvement in people's lives
- Give people a sense of their own power
- Be widely and deeply felt
- Build lasting organisation and alliances
- Provide opportunities for women and others to learn about, and be involved in politics
- Develop new leaders
- Promote awareness of and respect for rights
- Have a clear target, time frame and policy solution

Collecting water from a new pump in Adensua, Ghana

WATERAID/CAROLINE PENN

- Link local concerns with macro-policy/global issues
- Provide potential for raising funds
- Enable the organisation to further its vision and mission
- Be winnable.[31]

The following draft criteria have been suggested by WaterAid for the selection and prioritising of issues for organisation-wide advocacy work:[32]

- Coherence with advocacy aims and objectives, and WaterAid's 5 year strategy, contributes to achievement of the advocacy strategy aim

- Potential for WaterAid (country and UK) collaboration with others, due to significance of issue to partner or significant impact on work of partner in future
- Contributes to advocacy capacity building of country programmes, partners and communities
- Contributes to network development and strengthening, internationally, regionally, nationally and locally
- Within the Advocacy Team's and organisation's capacity and competence
- Contributes to WaterAid's ability to mount integrated campaigns
- Contributes to WaterAid's development awareness activities
- Contributes to WaterAid's profile-raising activities.[33]

Scaling up people-centred integrated approaches.

Even as more national policies enshrine the need for people and local communities to be active participants and actors in water supply, in practice much water supply development is still technocrat and bureaucrat led. Even under a demand-responsive approach (DRA) the participation of people, especially the poor, are limited to paying capital contributions and the costs of operations and maintenance.

At the same time, integrated approaches that include sanitation and hygiene promotion into water supply development are still very much the exception rather than the norm. It is no surprise, then, that even with advances made in the provision of safe water, sanitation and hygiene integrated projects lag too far behind and half the world's population are still without any means for safe excreta and waste disposal. Public awareness, political will, adequate levels of investments and mobilisation are all needed.

WATERAID'S STRATEGIC ISSUES FOR ADVOCACY WORK

WaterAid's Big Issues Group (an interdepartmental discussion group) has identified the following key issues as focus for public policy advocacy in the UK and in its country programmes:

Sector reform: Private Sector Participation (PSP)

The increasing participation of the private sector in service delivery is at the heart of the sector-wide reforms advocated and bank-rolled by multilateral and bilateral donors as part of structural adjustment programmes. It is argued that governments as direct providers, have given rise to heavily subsidised loss-making utilities, operating to rigid civil service personnel rules, open to political intervention and manipulation, and encumbered by procurement procedures disadvantageous to government and the public. Therefore it is alleged that publicly-run services are grossly inefficient, incapable of stemming the increase in non-revenue water, incapable of improving services and expanding coverage and so unreliable that people are not willing to pay for the service. There are many challengers to private sector take-over of water supply and sanitation service provision, not in the least because over-emphasis on the private sector diminishes other alternatives such as public-public partnerships, community management-public partnerships, and co-operative ownership as well as public-delivered and managed services. The promise of PSP, that it will ultimately result in better quality and more cost-efficient services for those already served as well as provide services to those currently unserved, still has to be independently proven.

Financing the sector

A sustainable financing strategy for achieving universal access to water and sanitation includes three prongs: increasing resource allocation to the sector, improving the efficiency and effectiveness of existing resources, and tapping the potential of alternative financing mechanisms. In general, developing countries spend anywhere between 1% (sub-Saharan Africa) to 3% (Latin America and the Caribbean) of government budgets on low cost water and sanitation. With lagging economic growth rates due to structural adjustment, growing pressures to reduce government expenditure and declining official development assistance, expenditures in water and sanitation struggle for allocations. There is little published information on where financing for the sector comes from. Not only is information paltry, but it is also difficult to get at, with water and sanitation allocations hidden in different donor and government budget categories. Part of the task is to get a clearer view of financing sources and allocations to the sector, assessing effectiveness of allocations, and mobilising the sector to demand the necessary financing to achieve universal access, from governments, development agencies, and the public.

Sector reform: The reform of institutions

Decentralisation is a shift away from centralised government involving a redistribution of powers, be they fiscal, administrative or functional, towards regionalised or local governments. In the water and sanitation sector, decentralisation of administrative and functional responsibilities for service provision is shifting to local government at the district level. Often, this shift in responsibility comes without the necessary financial resource to carry out the responsibility, nor the necessary human resource skills and systems to effectively manage it. The move towards decentralised service planning and provision is also changing the relationship between civil society groups and local government. More and more development NGOs, whether international or local, are being contracted to provide services, with consequences for community empowerment and their advocacy activities on behalf of the poor. The task involves assessing the impact of these reforms on the institutions involved and their effectiveness in delivering to the poor and unserved.

The following themes and topics are cross-cutting:

Human rights

In the water and sanitation sector, there have been recent calls to make the right to water and sanitation an explicit human right (incorporated into national constitutions, international laws and agreements). Human rights have been interpreted as universal standards for human dignity. Calling for an explicit recognition of the right of access to a safe and affordable water supply and adequate sanitation places an analytical tool in the hands of people who do not currently enjoy access to these basic services. The right to water and sanitation, though explicitly stated in the Convention on the Rights of the Child, needs to be further defined in order to be of concrete use to people: how much water, what standards of safety, what responsibilities do citizens have over the resource, what are the duties of state, private entities and citizens towards the service and the resource?

Poverty reduction

Ever since the international donor community subscribed to the international development target of halving the number of people in poverty by 2015, much development assistance has been conditional on governments developing their plans and strategies to reduce poverty, and action towards poverty eradication. The link between water and sanitation provision and poverty reduction, and the incidence of poverty with the lack of water and sanitation needs to be better understood, and once understood, advocated.

Good governance and participation

There is universal agreement on the need for public participation, by way of community involvement in community water supply and sanitation development. Community management remains a cornerstone of community water supply activities. There is less agreement however, on what level of public participation is necessary for effective large-scale water supply and sewerage development, nor on how the public could participate in large-scale infrastructure development. The task is to demonstrate the need for this to government, private entities and the public and to establish how to do this effectively.

Corruption is rife in the water and sanitation sector. There is a need to raise the debate on good governance, especially between government and civil society. Accountability and transparency are also issues that need attention, especially in the financing of water supply and sanitation development, and in public-private partnerships.

Gender

The gender dimensions of policies relating to water supply, sanitation and hygiene promotion need to be constantly considered, as these policies impact differently on women and men.

Sustainability and water resource management

Sustainability pertains to both institutional/management, financial, and environmental sustainability of water supply and sanitation services and projects. Community participation, institution development (eg water user associations and federations of associations), cost recovery for operation and maintenance, and involving communities in water resources management and planning are important components of sustainability.

Corporate social responsibility

Private sector activities in the water supply and sanitation sector have impacts beyond the provision of services. The task is to understand how corporate activities could be made to contribute to the achievement of universal access to water, poverty reduction and sustainable development.

2.3 Finding out more: analysis

All writings on planning advocacy stress the importance of researching the advocacy issue before taking action, to increase efficiency, avoid embarrassing or politically damaging mistakes and help target effort and resources most effectively. One report notes that *'NGOs have been accused of missing opportunities by submitting evidence which is poorly researched, vague and focused on NGO funding'.*[34] Edwards points out that thorough research and documentation is also necessary if 'credible alternatives' are to be presented as part of the advocacy process.[35] Many organisations have specific staff, such as policy officers, with the responsibility for carrying out or supporting this process of research and analysis.

Many people are put off or daunted by the idea of carrying out research: however many of us are already engaged in research without realising it, we just need to learn to document and analyse it in a systematic way. The Box at the end of this Section gives some tips and guidelines on research.

There are three key aspects of research and analysis that are necessary for effective advocacy planning: analysing the issue, analysing the context, and understanding the time frame. These are covered in the following sub-sections:

2.3.1 Analysing the issue

The Save the Children advocacy handbook emphasises the importance of a thorough understanding of the issue (or 'problem', as they term it) before embarking on advocacy work: '*as soon as the problem has been defined, people may have immediate ideas about how to solve the problem through advocacy. The temptation is to move straight away to work on the basis of those ideas, to get moving as quickly as possible. But these initiatives need to be channelled into a coherent framework, developing further advocacy solutions along the way, so that you end up with a strategic advocacy programme where all the activities complement each other, directed towards a common purpose'.*[36] A detailed understanding of the issue is therefore a vital stage in advocacy planning.

ANALYSING THE ISSUE: THE PROBLEM ANALYSIS FRAMEWORK[37]

A useful tool for analysing an advocacy issue is the Problem Analysis Framework. When drawn up by the advocacy team members together, it can help them share ideas and contribute to a common understanding of the problem and possible ways forward. It can also help teams identify gaps in their knowledge that may require further research.

Step 1 break the issue down into component parts or sub-issues, and list them in a table such as the one on the following page.

Step 2 for each sub-issue, identify the *consequences* of the problem, the *causes*, and the possible *solutions*.

The *causes* of a problem may be economic, social/cultural, technical or political, or a combination of these. It is particularly important to assess the underlying root causes of a problem or issue. For example, if the selected advocacy issue is access to drinking water supplies in a rural region, an initial analysis of the cause may focus on insufficient number of boreholes in rural communities. However, a deeper analysis of the causes of the problem should also consider why there are insufficient boreholes in the area:

there may be issues of ethnic bias, of politically-motivated funding decisions, of gender bias and so on. Even deeper analysis may reveal structural constraints such as the debt burden on the national economy preventing sufficient spending on rural water supply, etc. Repeatedly asking *why?* helps in this process to provide a full analysis of the problem.

The list of potential *solutions* may include changes in policy, practice, implementation of policies, knowledge of laws and policies, attitudes and behaviour, the whole range of change encompassed in the definitions of advocacy given above in Section 1.1.

Table 2	Problem analysis framework		
Sub-issues	**Consequences**	**Causes**	**Solutions**
Sub-issue 1			
Sub-issue 2			
Sub-issue 3 etc			

PROBLEM TREE

Another approach to analysing an issue is the problem tree, a participatory visual method frequently used as part of a participatory rural appraisal (PRA) exercise. Again, this exercise is best carried out by the advocacy planning team together.

Step 1 draw a tree shape on the ground or on a large flip chart on the wall

Step 2 write the main problem or issue on the 'trunk' of the tree

Step 3 on individual pieces of paper, participants write the problems that result from the main issue; these are then placed or stuck onto the tree as the 'leaves'

Step 4 on individual pieces of paper or cards, participants then write the causes of these problems, which are then placed or stuck onto the tree as the 'roots'

This exercise helps participants to visualise the links between the main issue, the resultant problems, and the root causes.

Manuel Katibo works selling corn in Metasuela, Mozambique

JENNY MATTHEWS/WATERAID

The search for solutions, or alternatives, is an important one in advocacy planning. NGOs are often criticised for advocacy work that campaigns against a certain policy or practice without presenting any realistic alternative. In such cases, the advocacy initiative is not only ineffective in achieving policy change, but also can damage the credibility of NGO advocacy work in general in the eyes of advocacy targets such as governments and major funding institutions. As Edwards points out, wherever possible NGOs need to present 'well-developed alternatives which will guarantee rising living standards without the social and environmental costs imposed by current systems'.[38] These alternatives need to encompass the results of research and experience from a number of sources. It is not enough for an NGO simply to present examples of its own 'good practice': supporting information and analysis needs to be available that demonstrates the viability of this good practice being scaled up or more widely applicable. Research, peer reviews and discussions with advocacy targets themselves, can all contribute to this process.

PRESENTING CREDIBLE ALTERNATIVES

Research has played an important role in achieving advocacy success in Karachi, Pakistan where WaterAid has been funding the Orangi Pilot Project (OPP) for a number of years. Students have documented existing self-built sewerage facilities in low-income areas in Karachi, to enable OPP to advocate to the Karachi authorities a realistic plan for extending low-cost sewerage to poor communities across the city. Arif Hasan, WaterAid's Representative in Pakistan, wrote in the 1999 Annual Report:

'The documentation provided by the students has been the basis on which the OPP has questioned government sewerage and drainage plans for the city of Karachi and has presented various alternatives which are cost effective and do-able without foreign loans. As a result, four nallas (open drains) are being turned into box culverts, affecting the lives of about two million people. This documentation has meant that the OPP has also been able to propose alternatives to the ADB (Asia Development Bank)

funded proposal for the Korangi Waste Water Management Project.

Owing to the OPP proposal, the ADB funded proposal has been cancelled by the Governor of Sindh, saving the Sindh government from a further loan of US$70 million and reducing the project price from US$95 million to about US$25 million. An important role in this decision-making has been played by the OPP publication Proposal for a Sewage Disposal System for Karachi. In addition, the OPP is also producing two volumes of

the OPP Survey of Karachi's Katchi Abadis in Urdu and English. This publication will have a major impact on policy issues relating to water and sanitation in Karachi and will lead to the development of more rational, cost- effective and pro-poor programmes.

Support for the OPP students' programme and publications is already influencing the lives of over 2.5 million Karachiites. With more research, documentation, planning, and policy alternatives, this number will increase substantially.' [39]

USING RESEARCH FINDINGS FOR ADVOCACY

In late 1999, the Government of Uganda produced an outline of its revised Poverty Eradication Action Plan (PEAP) and invited civil society organisations to participate in the revision process. In response to this invitation, a task force was established by a group of development and advocacy NGOs to co-ordinate civil society inputs to the Plan. The task force organised

a Participatory Poverty Assessment, to find out from poor communities their definitions of poverty and their priorities for poverty reduction. An extensive consultation exercise among poor people in eight out of 45 districts identified that access to water and sanitation facilities and services was the second priority for poverty eradication for the poor. Prior to this study, government budget allocation to

the water and sanitation sector was the lowest among the social sector. When the results of the Poverty Assessment were finalised, the NGOs used this information to lobby the Ministry of Finance to reflect the priorities of the poor for poverty reduction in Uganda's revised PEAP. Consequently water and sanitation now have second priority in budget allocations.[40]

2.3.2 Analysing the context: politics and power

In order to advocate effectively for change, NGOs need to understand how change takes place in the arena in which they are working. As discussed in Section 1.4, an understanding of power relationships is fundamental to achieving policy change. Building on this general understanding, NGOs involved in a specific advocacy initiative need to analyse where and how the decision-making process takes place for their selected advocacy issue. For example, if advocacy work is planned on the issue of financing water supply services in poor urban areas in a particular country, the team involved needs to research and analyse exactly

who makes the decisions about water supply financing, and how those decisions are made.

One advocacy training guide suggests that decision-making can take place through a formal process, an informal process, an alternative process, or a combination of all three. It defines the formal process as *'the official procedure as stated by law or policy, for example certain policy changes may have to be voted on by a board or directors, or officially approved by the president'*. The informal process is described as *'activities and procedures in the decision-making process that occur concurrently with the formal process, but are not required by law or organisational policy. For example, an organisation's president may*

informally discuss the proposed policy change with each board member before the board meets to vote on it.' Finally, the alternative process *'exists wholly outside the official process. For example, if the president of an organisation feels that a decision by her board of directors is not warranted for a minor policy change, she can discuss the change with key staff, make a decision and implement the change without "official" action'.*[41]

The same point is made by the authors of the SCF advocacy handbook: '*if you want to bring about change you need to understand how change happens. This will vary considerably depending on your local context. For example, there is no point directing your advocacy work at local government if decisions are made nationally. In many cases, there are official decision makers and processes by which decisions are made. However, you may discover that the most important steps in decision making happen informally, or that they are obscured or hidden. It is important that you identify what happens in reality, rather than what happens in theory... Does formal, legal change necessarily lead to real change on the ground? Who can translate decisions into action?'* [42] Therefore in order to achieve change, we need to research and understand which decision-making processes are relevant to the issue on which we are working.

An important aspect of this research is gaining an understanding of the various stages of the decision-making process at which policy influence can be gained. Abrams[43] describes this process in the following diagram on the Governing Cycle:

The advocacy planning process should involve analysis of these stages to enable the most appropriate interventions. NGOs are reportedly often 'late' and tend to intervene in the later stages of the process, largely due to inadequate forward planning, which can limit the effectiveness of their intervention.[44]

▶ **Section 2.3.3: Understanding the time-frame**

NGOs have found that it is easier to bring about change on some issues than others, often depending on the importance of the issue to governments and other advocacy targets. Some term the issues that are as easy to change as 'low' policies and those that are difficult to change as 'high' policies, reflecting their significance for government.[45] Therefore it may well be that governments and other advocacy targets will let themselves be influenced on 'low' policy issues, giving NGOs the impression that they can make a difference in the policy arena, while remaining immovable on the 'high' policy issues which are the government's top priority areas on which they will not be influenced. Sometimes, involvement in debate on these 'low' issues may allow NGOs a 'seat at the table', from which they can work towards influence on the 'higher' policies. In all this, an understanding of the power relationships described in Section 1.4 can help NGOs determine exactly what their strategy is, so that they are not blindly or naively co-opted by their advocacy targets.

Governance Cycle

Review Phase ⟶ **Policy Development Phase**
1 Principles
2 Detailed policy development

Implementation Phase ⟵ **Reform Phase**
1 Legislative Reform
2 Institutional Rationalisation
3 Strategic Planning
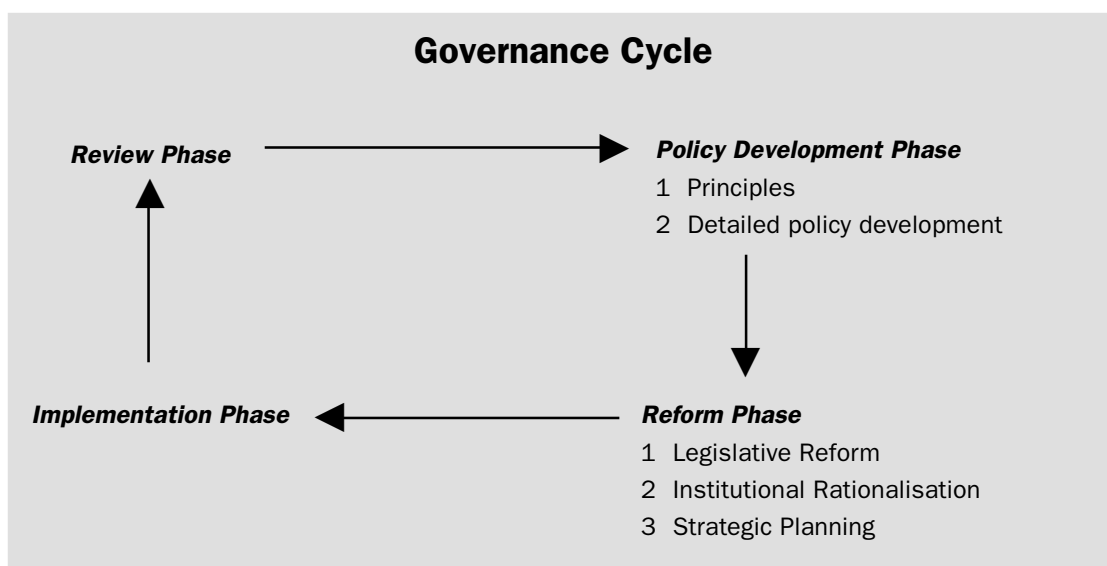
COMPROMISED PRINCIPLES OR TACTICAL MANOEUVRES?

In recent years WaterAid in Zambia has been involved in the provision of the 'software' of borehole construction in certain districts to accompany the 'hardware' provided by the Japanese-funded JICA Rural Water Supply Programme. Partly as a result of WaterAid's positive work in this area, JICA now appears to accept that communities can be involved in project implementation given appropriate support. JICA also acknowledge the role of NGOs in

providing this support. WaterAid has been asked to contribute to the planning of the next phase of the programme, which will include both hard and software.

WaterAid is keen to influence JICA on two key issues: a) technology choice and the inappropriateness of boreholes as the only technical option; and b) including hygiene and sanitation as part of an integrated package, rather than concentrating solely on water source provision. At present JICA

intends to go ahead with borehole promotion and will not take an integrated approach to water and sanitation through their programme. However, WaterAid Zambia has decided to continue to input into the programme and will probably become involved in the 'software' aspects in future, in the hope that working together with JICA will enable them to exert more influence over the programme and future policy than if they refuse to collaborate.[46]

In some cases, it is the implementation of a particular policy that is causing the problem, rather than the policy itself. In such cases, research should focus on the constraints to implementation. For example, government policy may dictate that there should be a certain level of sanitation services per head of population throughout the country, but corrupt local councillors in particular areas may have prevented the implementation of this policy. In this instance, advocacy effort aimed at national level policy makers would be misplaced, as it ignores the root causes of the problem on the ground, and lobbying for a more open and accountable local council may be more effective.

A key feature of this analysis is understanding who makes the decisions, as well as how they are made. This is explored further under Section 2.5: Identifying targets.

► Section 1.4: Politics and power
► Section 2.5: Identifying targets

2.3.3 Understanding the time-frame

A number of writers on NGO advocacy emphasise the importance of timeliness for effective advocacy work. As mentioned above, there is a tendency for NGOs to react to issues only after they reach the agenda of their advocacy targets, which in some cases is too late to affect the outcome of the debate. Careful analysis of current directions in policy can allow NGOs to anticipate trends – and in some cases even create trends, and so be ready to intervene in the earlier stages of policy debate if necessary.

A REALISTIC ANALYSIS OF LOCAL POLITICS

WaterAid has been working in two Local Government Areas (LGA) in Nigeria for the last four years, training and supporting government Water and Sanitation Unit (WASU) staff. In response to a request by the donor, the programme was challenged to show how it was targeting 'the poorest of the poor'. In 1997, with the help of a consultant, the teams designed a system for a) selecting the most vulnerable communities in the area; and b) selecting the poorest households in the area, for the allocation of water points. The system involves a form of survey based on PRA-type tools to develop a vulnerability profile of the

communities. The WASU teams have been involved in the development of this system and are interested and committed to its implementation.

Before this vulnerability assessment was introduced, target communities and households were selected by the Chairman of the Local Government Council. In theory, the Chairmen are accountable for their decisions, but in practice they are almost expected to use their position to capture resources for themselves and their communities. The vulnerability study was designed to overcome this bias and focus on the poor. In reality, the introduction of the assessment has resulted in a shift of

responsibility for community selection, from the LGA to the WASU teams, without eradicating personal bias completely. However, WaterAid staff feel the introduction of the assessment process has not been a waste of time: the focus of decision making for selection has moved nearer the communities (to locally-based WASU teams rather than regional Local Government Councils); and the assessment process means that the WASU teams, while maybe favouring their own communities somewhat, do have an objective basis from which to explain their decisions.[47]

USING A TIME-LINE FOR ADVOCACY PLANNING

Constructing a time-line can help advocacy teams to chart the key events which will affect their proposed work and to time inputs for maximum effect.

'Step 1 As a group, tape together three flip-chart sheets end-to-end and draw on it a wide river flowing from west to east. This represents the time scale of your advocacy project. At the eastern end, draw a simple illustration of how the world will be when your advocacy has succeeded.

Step 2 Discuss social or political events that are likely to impact on your project through its lifetime. Mark these in sequence on your drawing, showing them as smaller streams joining the river. This gives a simple picture of the external environment in which your advocacy will unfold.

Step 3 Now brainstorm possible activities within your advocacy project. As people think of activity ideas, discuss them in the group briefly to prompt more ideas, but each individual should also write them on Post-it notes or pieces of paper or card that can be stuck on the picture. All ideas should be included at this stage; even those that seem unrealistic may inspire great alternatives.

Step 4 When there is a good range of possible activities, group members stick them on to the river, discussing the appropriate sequence and how they would tie in with outside events. Discuss which activities should be priorities, ie which ones contribute best to the overall goals, are most realistic, affordable and fit in well with other events.

The chosen activities and their sequencing then become the time-line for your advocacy project.'[48]

School children learning hygiene messages on Erendabari Char, Bangladesh

WATERAID/ABIR ABDULLAH

ADVOCACY: WHAT'S IT ALL ABOUT

UNDERSTANDING THE TIME-FRAME OF WORLD BANK PROJECTS[49]

Information on World Bank projects is produced at different stages in the preparation of a project. Table 3 below presents an illustration of the stages in the project cycle. The Bank and governments of borrowing countries share responsibilities over the project cycle. Co-financing agencies, bilateral agencies, NGOs, and other parties may also participate in the preparation of a project and its implementation.

Before being made public, the documentation on a project is reviewed by the government of the borrowing country for sensitive material. Drafts of documents are not generally distributed: only the final documents are available to the public.

Table 3 World Bank project cycle stages and documents

Project Cycle	Activities	Documents Available to the Public
Identification	*Joint Borrower/Bank Involvement* • Sources of project ideas: Bank economic work, prior projects and other agencies • Initial summary of project approved by country department	Project Information Document (PID)
Preparation	*Responsibility of Borrower* • Technical/financial assistance available from: Borrower, Bank and other agencies • Studies (economic, technical, institutional, financial) • Study of impact on environment Project summary revised by the Bank	Technical information Environment Assessment (EA) Revised PID
Appraisal	*Responsibility of Bank* • Evaluation of project viability: economic, technical, institutional, financial and environmental	
Negotiations	*Joint Borrower/Bank Involvement* • Borrower reviews final documents • Terms and conditions of loan agreed	
Approval	• Board of Directors of the Bank approves loan • Signing of loan agreement by both parties	Staff Appraisal Report (SAR) or Technical Annex (TA)
Implementation/ Supervision	• Loan declared ready for disbursement • Implementation by Borrower • Supervision by Bank	Legal Agreement
Ex Post Evaluation	• Completion and audit reports • Analysis used for future project design	Impact studies

Research can be defined as *the systematic collection, analysis and dissemination of information*. The general characteristics of research, as opposed to other sources of information, are:

■ It is objective (not biased)
■ It is representative of the whole group that it is focused on (not a single viewpoint)
■ It is accurate and reliable

The following steps summarise the stages involved in planning a piece of research. It presupposes that you have identified your key research question(s) and any key themes you need to look at to answer the research question(s):

1   The first step in planning research is to identify what information you need to know. This can be broken down into topics and sub-topics. Breaking down the information required into parts facilitates planning and helps to distinguish between that information which is easily obtained and that which will require more effort.

2   The second step is to identify **where** you can find the information for each topic or sub-topic, this can be from a range of sources. In some cases, the information you require will already have been collected by someone else ('secondary information') in research reports, government statistics, project documents etc. In other cases you may have to collect the information yourself from the original source ('primary information'), through a field survey or a series of interviews with key informants. Wherever possible, you should use the information that others have collected, rather than duplicating their work, as long as it is reliable and trustworthy. You may find it useful to draw up a table with the sub-topics in one column, and then add the sources of information available next to each sub-topic in the next column.

3   If you need to carry out your own survey, you will need to decide **who** you are going to interview, ie to define your sample. The process of sampling means the selection of a group of people representative of those you wish to draw conclusions about. Therefore this involves determining how many people you will include, of what characteristics (men, women, water users, village residents etc), and how you will pick them (a randomly selected sample of a certain percentage of the population; all the residents of a particular suburb; a percentage of project participants etc). The type of sample you choose will depend on the time available and the type of information you require. In general you need to have as large a sample as possible within the constraints of your time and the resources available, so that you can feel confident that your conclusions are as representative of the wider group as possible. Primary research for advocacy can cover a range of activities: from village-level surveys to establish community priorities or views on a particular issue, to interviews with policy makers or officials to determine policy making processes.

4   If you do not have the time or capacity to carry out a survey yourself, you may be able to commission research from others. These may be staff from academic institutions and research institutes, or from other NGOs. Even if you are not carrying out the research yourself, you need to be clear about exactly what you need to know and from whom, in order to ensure that the outcome of the research meets your requirements.

5   The next step is to determine **how** you will collect the information. Where information already exists, this should have been noted on the table next to the relevant topic. For primary research, you will need to determine which data collection techniques are appropriate for the information you require and the sample from whom you are collecting it. Much research uses a combination of methods, including interviews, questionnaire surveys,

participant observation, and the group of techniques known as PRA or RRA (Participatory Rural Appraisal/ Rapid Rural Appraisal). Whichever methods are used, data collection should always be:

■ Systematic
■ Consistent (asking the same questions for each part of the sample)
■ Questioning (taking nothing at face value, cross-checking responses)
■ Flexible (follow up unexpected but relevant information)
■ Sensitive (respecting people's culture and privacy)

These principles apply equally to research on decision-making within target policy institutions as to research among village residents.

6   The appropriate methods for collecting each part of the required information can be added to the table, together with a timetable and allocated roles, to form a research plan (see Table 4)

7   When the data has been collected, it should be collated, ie brought together, in a systematic way. All the information on a particular sub-topic, from whatever source, should be put together, summarised and conclusions drawn. It is generally most useful to write up the findings of your research into a report (even if this is only an internal document used for planning) so that colleagues and others can access the information. The process of writing up the results also helps you to focus your analysis and draw conclusions. Any write-up of your research should include a short methodology section, in which you explain how you obtained the information, the size of your sample and how it was selected etc. This enables anyone reading the report to verify how representative your conclusions are.

▶ Section 5.4: Further reading

Table 4	Sample research plan table				
Topic	Sub-topic	Sources of information	Method for information collection	Timetable for information collection	Responsibility
1	1a				
	1b				
2	2a				
	2b				
	2c				

The research and analysis phase of advocacy planning should therefore include a component of assessing the time-frame surrounding the selected issue. There are often key events or opportunities, for example international conferences, elections, consultation deadlines, parliamentary timetables, meetings, submission deadlines, around which the advocacy plan can be built. Failure to take these key events and opportunities into account in advocacy planning can considerably lessen the impact of the work.

WATERAID/JIM HOLMES

2.4 Setting objectives

When the analysis stage is complete and you have researched the issue on which you wish to advocate and the associated power relations, you can then draw up specific advocacy objectives, to define exactly what you want to happen, when.

As for any project or programme objectives, advocacy objectives should be SMART:

- **Specific** (what *exactly* do you want to happen?)
- **Measurable** (will you know when you've achieved it?)
- **Achievable** (is it possible to achieve it given your resources and time?)
- **Relevant** (is it relevant to all stakeholders and the real problem?)
- **Time-bound** (by when do you want it to happen?)

If you set objectives that are vague and unspecific, they will probably be impossible to achieve, as well as being difficult to evaluate. The time element is also important: if you can specify what you would like to see changed by a certain date, then you set yourself and your advocacy targets a deadline. This helps to prevent the continued use of resources towards a non-achievable goal and gives you a fixed point to aim for (although through the process of reflection and revision of your plans, this deadline may be rescheduled as time goes on).

SMART advocacy objectives

- To convince xx (particular person or office) at the Ministry of Education to adopt a national hygiene promotion programme as part of the yy curriculum for primary and secondary school-age children by the start of school year zz.
- In the next year, to increase funding for sanitation provision in the 5 poorest districts in country xx by 50%.

Not SMART advocacy objectives

- To promote hygiene education in schools.

- To promote the use of sanitation services among poor communities.

TOOL FOR SETTING SMART OBJECTIVES

The following exercise may be useful for teams in the process of defining their advocacy objectives, to help ensure they are SMART. It requires a group of at least five people.

Step 1 Each person is given three large cards and asked to draft up to three advocacy objectives and write them, one each, on the cards, which are placed in a pile in the centre.

Step 2 The team is then split into five groups, each of which is allocated one of the SMART criteria: for example 'Specific', 'Measurable' etc.

Step 3 The first five cards are distributed between the five groups, who examine the draft objective written on the card and decide whether it meets the criterion of their group. If it is not sufficiently 'specific', 'measurable' etc, they edit the objective (in a different colour pen). If they consider it to be an activity, rather than an objective, they place it in a separate pile in the centre.

Step 4 When they have finished, the group passes their card to the next group, in a clockwise direction.

Step 5 When a card that they have already annotated returns to a group, they place it in a pile in the centre of the room. When a group has no card to look at, they pick a fresh one from the first pile. The process continues until each group has seen every card.

Step 6 The annotated objective cards are then stuck on the wall, with similar ones grouped together, and reviewed by the group. The group can then decide which objectives are the priority for their work.

The 'rejected' cards that were considered to be activities rather than objectives, are reviewed by the whole group and any adjustments made.

SAMPLE SMART OBJECTIVES FOR WATER SUPPLY AND SANITATION ADVOCACY

- To convince the District/Municipal Chief Administrative Officer and the District/Municipal Assembly in xx District/Municipality of the valuable contribution of District-based NGOs in delivering water supply and sanitation services to the villages, as a first step in accepting these NGOs as partners in district water supply and sanitation planning, implementation and monitoring by xx date

- To establish a city-wide network of urban poor organisations, NGOs, consumer associations in xx in order to spearhead the call for improved water supply and sanitation services at affordable prices for poor residents in xx years

- To stop the sell-off of the xx public water supply and sewerage services company to yy private company by xx

- To convince the Chief Executive and Board of the xx city development corporation that non-legal poor residents in yy city/district should be connected to the main water/sewerage supply by xx

- To convince the Chief Executive and international operations manager of xx (international private water sector provider) that it is in the company's corporate interest to improve water/sewerage services to poor, non-legal communities within xx amount of time

- To raise the awareness of the residents of xx community/town about the impending privatisation of yy services and the likely impact on their water supply/sanitation services by xx

- To ensure that the national economic and development planning authority includes water supply and sanitation coverage targets in the country's new five year development plan

As discussed in Section 1.1, community involvement is an important dimension of advocacy work. Advocacy planning can and should include objectives to strengthen civil society involvement in policy making; to increase the awareness and the capacity of communities to advocate on their own behalf. In some cases you may also include objectives for changing the policy process itself (for example more open and accountable decision-making) on a particular issue.

STRENGTHENING CIVIL SOCIETY INVOLVEMENT IN POLICY MAKING IN NEPAL

The World Water Council was given responsibility for drawing up a global water vision for water, life and the environment, in preparation for the World Water Forum in early 2000, and asked the Water Supply and Sanitation Collaborative Council (WSSCC) to be responsible for the water and sanitation component.

The WSSCC decided to take a participatory approach for the preparation of the vision and organised consultations in 20 countries from five continents. A social mobilisation process was initiated to establish local and sub-national visions, which would then feed into national, then regional visions, and ultimately into a global vision. The objectives of this process were not only to produce a final document, the Vision 21, but also to 'initiate a participatory, public-centred, people-empowering process of dialogue among all stakeholders towards collaborative efforts on water and sanitation, to be continued after the Hague Forum.' Accordingly, community consultations took place in Nepal during February 1999, followed in May by a national level workshop, with participants from government ministries and NGO representatives.[51]

The Vision 21 process in Nepal is considered by WaterAid Nepal to have made a contribution to the recognition of civil society as policy actors, increasing the legitimacy of civil society participation – the 'democratic space' dimension of advocacy referred to in Section 1.1.[52]
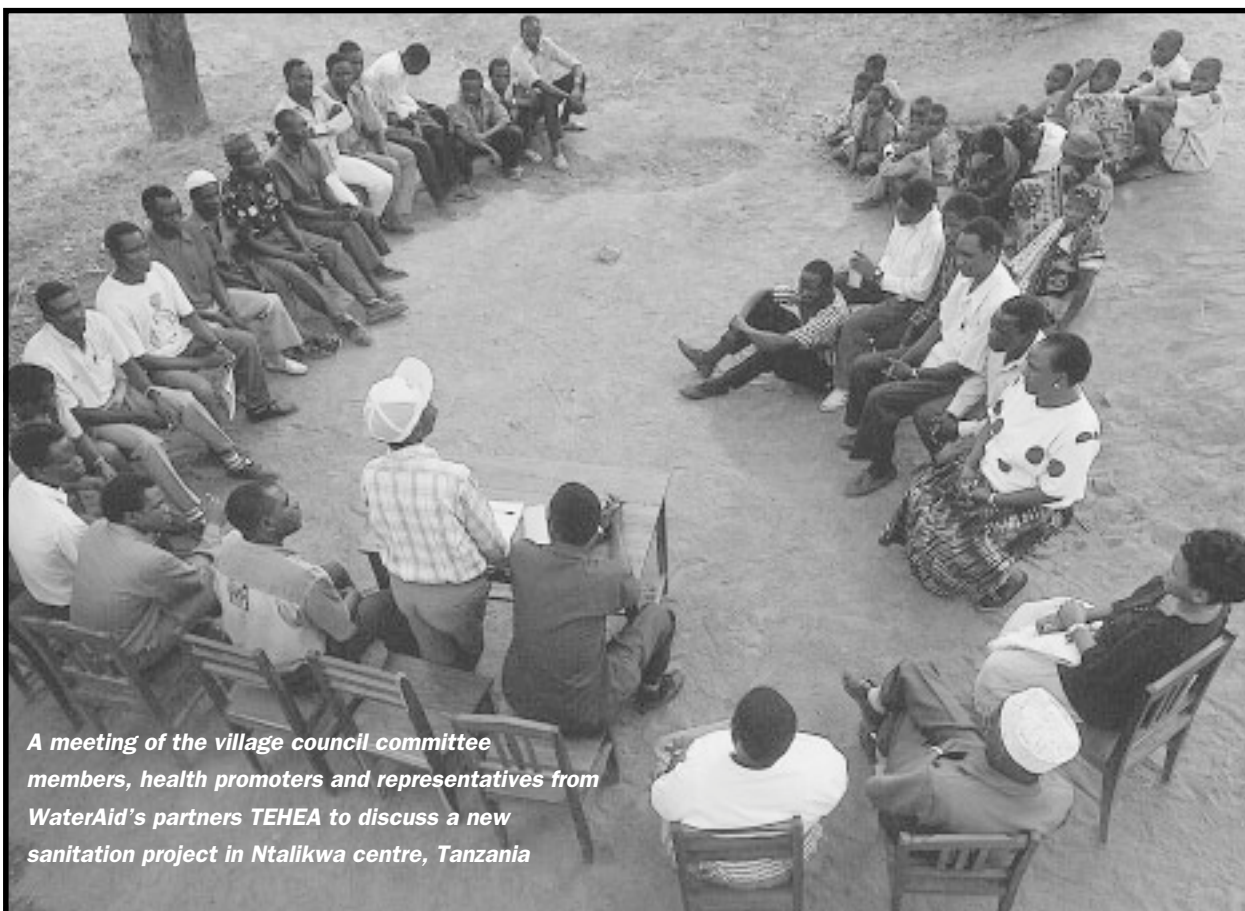
A meeting of the village council committee members, health promoters and representatives from WaterAid's partners TEHEA to discuss a new sanitation project in Ntalikwa centre, Tanzania

WATERAID/JIM HOLMES

2.5 Identifying targets

The research and analysis you have done on the issue and on power relationships around that issue (see Sections 2.3.1 and 2.3.2) will have helped you to determine who has the power to effect the change in policy or practice that you wish to take place. Building on this analysis, you can then define which institution(s) and individual(s) become your advocacy target.

Advocacy *targets* are part of the wider group of stakeholders with an interest in your advocacy issue. As well as targets, this group includes *adversaries* (those who oppose your position, but who may not be directly responsible for decision making); *beneficiaries* or *constituents* (those on whose behalf you speak); *allies* (those whose lives will be affected by the decision of the 'targets')

and *internal stakeholders* (colleagues and others from within your organisation who have a stake in the process and end result) – see the Box on stakeholders at the end of this Section.[53] It is important to remember that stakeholders can move between the various groups, as they become aware of the issue or are affected by other circumstances. Furthermore, a 'target' institution may contain both target individuals and allies, as there is usually a range of positions within any organisation on a given issue.

It is also important to identify 'secondary targets', sometimes called 'influentials',[54] ie those who have influence over the key targets, as they can often be an effective route to bring about change. They may be within the target institution, the media, members of parliament, civil servants, other government departments, trade unions and so on.

THE INFLUENCE TREE

The influence tree is a tool for analysing the decision making processes of a particular organisation or sector. Similar to a PRA mapping exercise, it can be drawn up by the advocacy planning team as a group.

Step 1 The various components (departments, organisations, and individual jobholders) are

drawn as circles or boxes on a large sheet of paper.

Step 2 Lines are added to the diagram with arrows to show the direction of influence.

Step 3 Colouring or shading can be added to highlight key leverage points for advocacy work (these may be the 'influentials' mentioned above).

Two examples of an influence tree are presented on the following page, the first for a water corporation and the second for a multi-lateral agency such as the World Bank. These are from a WaterAid advocacy training seminar held during the 2nd World Water Forum in The Hague in March 2000.

ANALYSING ADVOCACY TARGETS

A further step in the analysis of your advocacy target is to draw up a table of the targets and 'influentials' for each advocacy objective, and next to each target to list: what do they know about the issue; what is their attitude towards it; and what do they care about (even if it is not related to the issue, this helps you to know how you can relate your issue to things they do care about).[57] The

final column notes any particular influentials who can put pressure on your target. Table 5 shows an example of a fictitious advocacy initiative with the aim of increasing attention and resources for sanitation services from provincial and district assemblies and their water supply bureaux (the key advocacy target is the Provincial government).

The process of drawing up this table provides guidance for the subsequent stages in the advocacy planning cycle, such as which targets and influentials need more information; which may be directly opposed to the issue; and what are the key pressure points that targets care about that can be taken into account when framing the message and selecting the tools and approaches.

Figure 1 Influence tree for corporations[55]
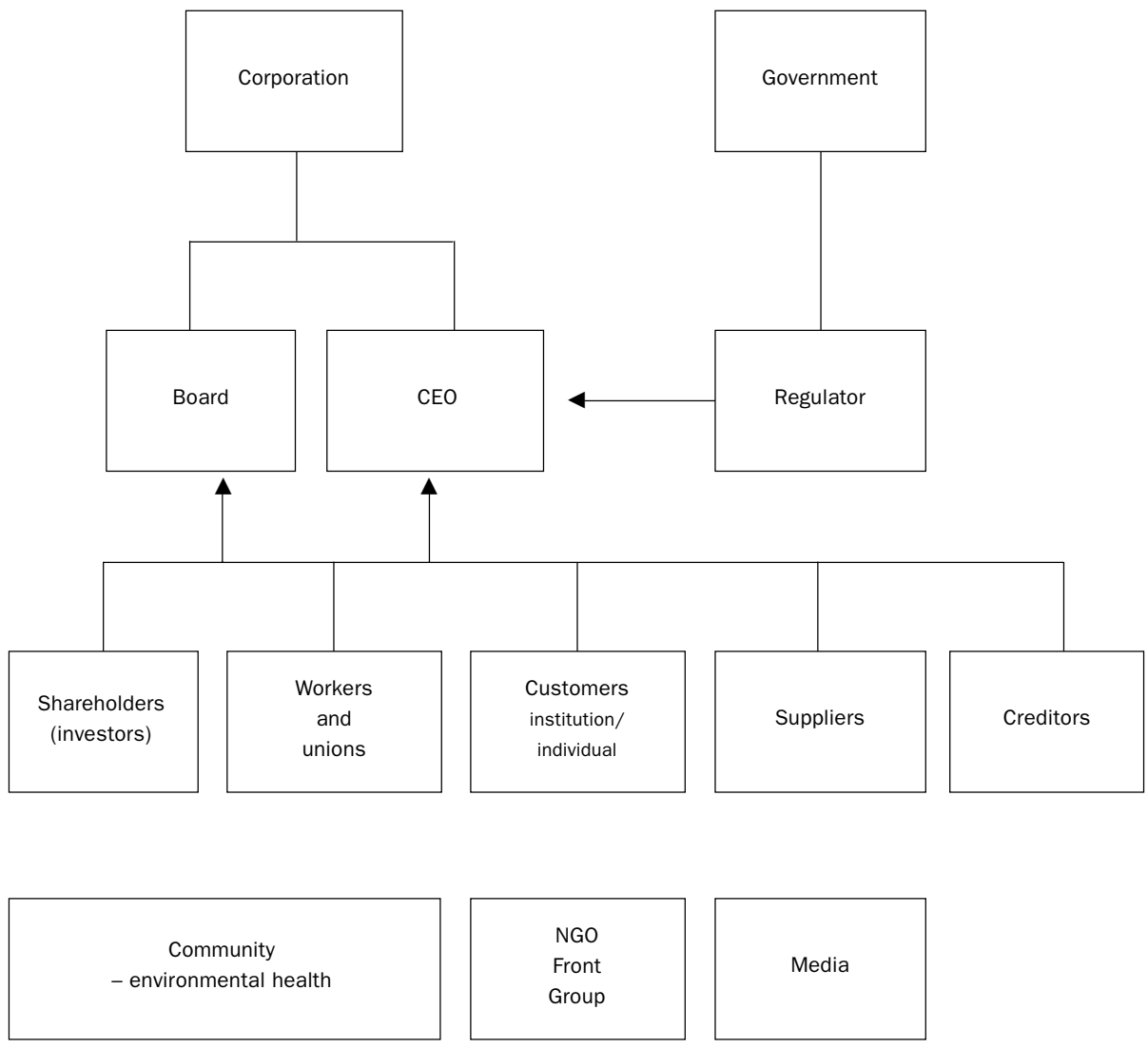
Figure 2 Influence tree for multi-lateral agencies[56]

World Bank

Public

Media

Governments

Banks

Regional/ sectoral specialists

Bilateral donors

Central

Commercial

Water corporations (contracts)

"Departments" – water & sanitation – privatisation

International NGOs

Staff

Research

Project output

Leverage point
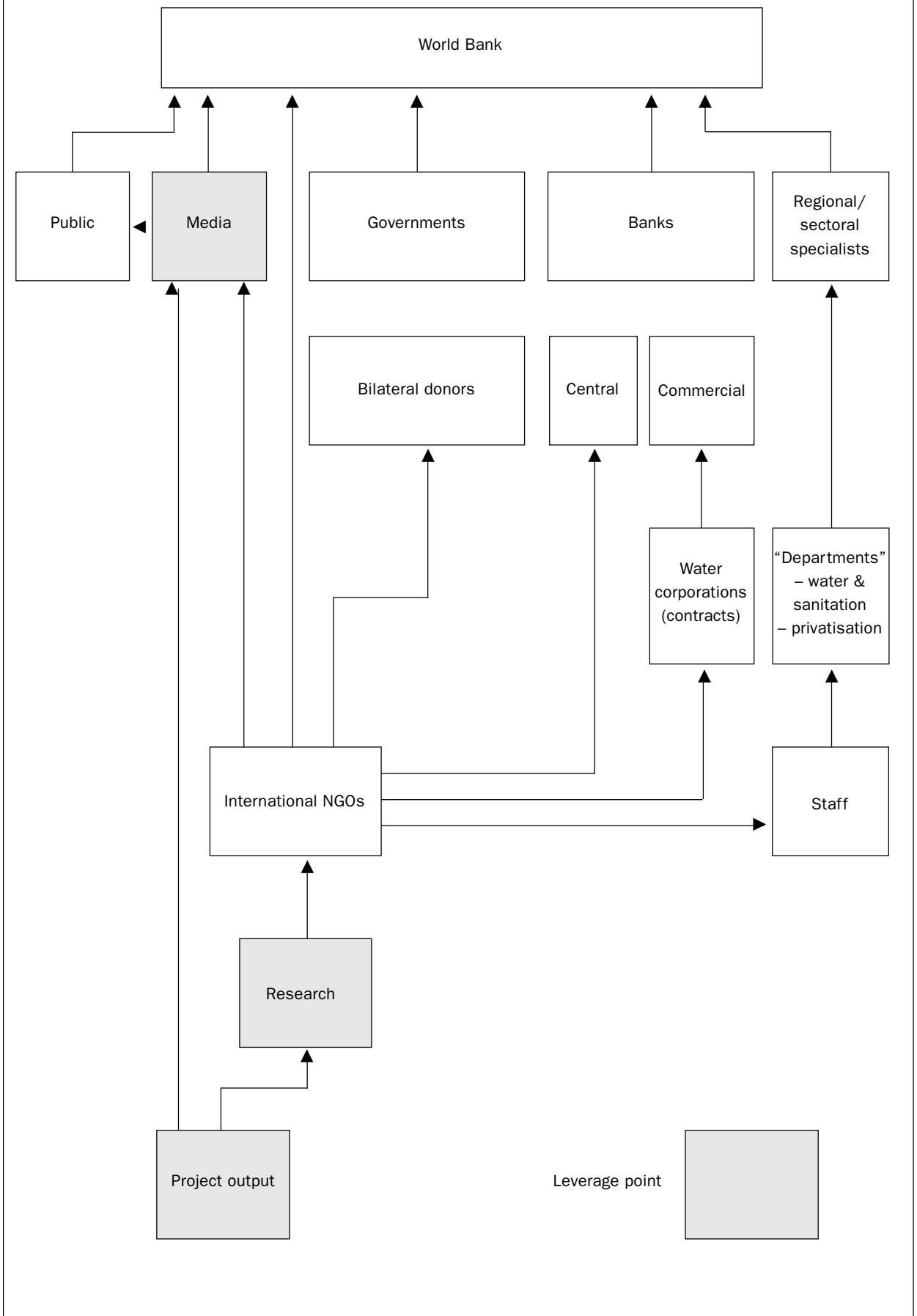
Table 5	Analysis of targets: sample table			
Target/influential	What do they know about the issue?	What is their attitude towards the issue?	What do they really care about?	Who has influence over them?
1. Provincial government Chief Executive, Governor or Province, Provincial Council	Very little exposure to the issue, especially in rural areas of province	Not important, don't think there's anything wrong in the lack of sanitation services, open defecation in rural areas etc. However, members of Council, Governor and Chief Executive, who live in provincial capital, have their own latrines/pour-flush toilets.	Getting donor aid into province. Council members care about votes and elections in two years' time; keen for their name to be linked with good project or bringing investment into province.	World Bank and other key donors; electorate (Council members)
2. District government officials	Slightly more exposure to the issue than provincial level	Not very interested.	Increasing their level of funding, in particular in relation to the Provincial government, and attracting donor aid into district	Donors; Provincial government
3. The media	Little exposure	Not relevant or important	Circulation figures; interesting stories	
4. Ministry of Water officials	Good understanding of the issues involved	Split: those based at district level are keen to see changes; national level staff have other priorities	Budget allocations

Standards in sanitation and other services | Ministry of Finance; World Bank |
| 5. World Bank (key funders in the water and sanitation sector) | Some understanding | Not a priority | Increased 'economic efficiency' in government services | |

GOVERNMENT AS BOTH TARGETS AND INFLUENTIALS

From 1991 to 1996, WaterAid in Tanzania was involved in developing an innovative 'partnership' approach to water and sanitation in the Dodoma Region, bringing together staff from the government Water Department, the Community Development Department and the Health Department, to work in district teams (known as WAMMA teams) for the provision of integrated water, sanitation and hygiene promotion services. In subsequent years, this approach has been recognised by central government as being successful. In early 1998 WaterAid were asked to join the national steering committee for the finalisation of the revised national rural water policy, in order to contribute to the policy some of key issues based on the WAMMA experience, namely community participation, and the integration of hygiene promotion, sanitation and water supply provision through partnerships between different government departments.

Government recognition of the success of this approach has been the result of advocacy work carried out not only by WaterAid local and national staff, but also by local government officials, both those directly involved in WAMMA and those with regional or district responsibility in the sector. The latter have promoted the programme's approach through presenting papers at national level conferences and other fora, and arranging project visits for Ministers, Members of Parliament and other key officials. In this way, government staff have been not only targets, but also influentials and advocates themselves.[58]

KNOW YOUR TARGETS

WaterAid Tanzania and its partners in the District and Regional Governments of Dodoma worked together to produce a resource book for Child-to-Child hygiene promotion, for use in schools. After successful piloting, over 30,000 copies of the book were produced; 20,000 for WaterAid funded work and 10,000 commissioned by UNICEF for wider distribution in Tanzania.

WaterAid proceeded to distribute the book and facilitated teacher-training workshops in the four regions of Tanzania where they work. The success of the training methodologies as well as the popularity of the book among teachers and pupils led UNICEF to carry out training for government staff in the regions where they are working and where they planned to distribute their 10,000 copies.

WaterAid organised a one-week training workshop for staff from the regions and from the National Ministry. This was the first time that anyone had spoken to officials from the National Ministry about the book and they were understandably very concerned that a book could be distributed in Tanzanian schools without their knowledge and/or consent. By the end of the workshop a better understanding had been reached and the book is now being used in the UNICEF funded work as well as in WaterAid funded work. WaterAid's lack of knowledge about Ministry of Education procedures could well have wrecked an otherwise successful activity. The focus on local integration to the exclusion of National Agencies is a mistake that all can learn from .[59]

ADVOCACY FOR WATER SUPPLY AND SANITATION: WHO ARE THE STAKEHOLDERS?

Communities

As the key users local communities are the primary stakeholders in the provision of water supply, sanitation and hygiene services. They are generally seen as the 'beneficiaries' of advocacy efforts. However there may be times when they are also key influentials: as voters in general and local elections; as interest groups able to wield political power etc. It is also important to distinguish between the various stakeholders within the local community, which is rarely a homogenous group. Within any community there will be different groups of stakeholders with different perspectives on issues relating to water supply and sanitation. For example, women, as the primary collectors of domestic water, may have a different view from men, who may perceive other services as having higher priority. Livestock owners will have different priorities from those who use water only for domestic use. Sanitation services may be a higher priority for some poorer sections of the community with low provision or ill-health due to inadequate sanitation, compared to better-off sections of the community.

Local government

Local government officials may be keen to see water supply and sanitation services improve. On the other hand, they often have inadequate budgets to provide the services in their remit, and funding may well be reduced by corruption and other constraints. There may be cases where officials from one government department can act as influentials over those of another department, as well as being advocacy targets themselves.

National government

National government officials, as policy makers, are often key advocacy targets, but some may also be influentials or even allies on a particular issue. As with local government, some departments may be able to exert influence (or even power) over others: for example the Finance Ministry may be able to affect the policy of another Ministry through its influence over budget allocations.

Civil society

NGOs, as implementers of water and sanitation projects, may be allies in advocacy initiatives, or may be influentials, providing examples of good practice and the outworking of policy alternatives. International NGOs sometimes have a key opportunity to influence donors and other international organisations and can thus be strategic allies or influentials. NGOs may also at times be advocacy targets themselves for better practice or policy, in their role as donors or as operational practitioners. In addition to NGOs, other civil society groups are key stakeholders in water and sanitation development: community-based organisations (eg urban poor associations, women's self-help groups), trade unions in public or private water supply service providers, and consumer associations, may all be allies or influentials in advocacy initiatives.

Private sector

The role of private water companies is increasing around the world, as the privatisation of water supply and sanitation services becomes increasingly popular with key donors and national governments. On issues of privatisation, they are likely to be adversaries and/or targets; however, on other water supply-related issues, water companies, in particular the international ones, may act as influentials in relation to national governments. Other private sector organisations such as domestic water companies, artisans and artisanal associations, and consultants may be influentials, allies or targets in the advocacy process.

International donors and multi-lateral organisations

International organisations such as the UN agencies and the World Bank have a very influential role to play in the development of water and sanitation policy. As key funders of national government programmes, they are in a position to impose criteria on national government development policy, including water and sanitation. They may therefore be both advocacy targets in themselves, and influentials. However, it is important to remember that within such large institutions there will be a range of opinion and position on a given issue, and most such organisations will contain both targets and allies within them.

2.6 Identifying allies

Another significant group of stakeholders are those who are also committed to change on your chosen issues, with whom you can work on advocacy initiatives. The NEF study on NGO campaigning stresses the importance of this sort of collaboration, emphasising the need for a mix of skills and people. A range of approaches (for example, using both 'insider' and 'outsider' strategies – see Section 2.8) is often useful to bring about change. As most NGOs tend to specialise in one or the other, collaboration can increase the impact of advocacy initiatives.[60] The SCF advocacy handbook also stresses the advantages of collaboration:

- 'You have an opportunity to share expertise, knowledge and lessons learned
- You may gain access to other resources, such as funding
- Several groups speaking with one voice are likely to be taken far more seriously than if each group works separately
- Working within partnerships or networks bolsters moral support and solidarity
- Partnerships with or between young people are a good way to ensure their voices are heard
- Working in partnerships is also a first step towards strengthening civil society and furthering the social change process which many see as a central goal of advocacy work.'[61]

This collaboration can be formal or informal, temporary or permanent, single issue or multi-issue, geographically focused or issue focused, and so on.[62] The most common forms of NGO collaboration for advocacy include: networking (information sharing); networks (information sharing and perhaps some co-ordination of activities); coalitions (groups acting together on a specific activity); and alliances (more permanent arrangements). One commentator notes that the more formal types of collaboration are more likely to be accountable to grassroots communities.[63]

Whichever form the collaboration takes, some key factors must be taken into account or the partnership will fail. The most important of these is transparency: it is vital that each of the partners in the alliance or network understand the others' objectives, even if they do not share them fully. It is also necessary for the various groups to share a common purpose or overall goal, so that there is some common ground between them, even if the techniques and approaches differ. The more coherence between the groups' goals and objectives, the closer the collaboration can be. The list below presents some 'Musts' and 'Challenges' for building a close form of collaboration, an alliance:

A young boy working in the paddy fields on Erendabari Char, Bangladesh

WATERAID/ABIR ABDULLAH

Alliance building in advocacy

Musts

- Clarity:
  - Objectives (is everyone clear on the objectives?)
  - Differences (is everyone clear on the differences between various parties?)
  - Assumptions (are the assumptions under which each group is working clear?)
  - Working principles (what are the working principles for each group?)

- Compatibility:
  - Values and perspectives (have you shared your values and is their enough common ground?)
  - Interests (is there enough common interest between you?)
  - Working principles and policies (are your working principles and policies compatible?)

- Communication:
  - Consistent (regular communication is important)
  - Multiple channels (don't restrict to a single form of communication)

- Consensus:
  - Decision-makers (have you agreed who are the decision-makers and how?)
  - Participation (are the levels of participation by the various parties agreed on?)
  - Collective leadership (have you defined how the leadership will operate?)

- Coherence:
  - Sharing responsibility (share responsibility to keep the alliance together)
  - Co-ordination (ensure someone is responsible for co-ordinating activities and communication)
  - Channelled effort (how are you going to encourage everyone to work in the same direction?)

- Conflict management system (what will you do when there are conflicts of opinion?)
- Autonomy of members and constituents (have you discussed to what extent groups can act individually?)

Challenges

- Self perpetuating structure (how will you know when it is time to stop?)
- Appropriating the identity of the members (how can you retain your individual identities yet work as a group?)
- Taking credit by visible members or leaders (how can you ensure good participation by all members?)
- Competing self-interest of members (how can you keep everyone working towards a common goal?)
- Differing ideologies and personal histories (how will you work to bring people together?)
- Sustainability (how will you support the alliance?)
- Initial enthusiasm and eventual stagnation (how can you keep up the momentum?) [64]

COALITION CHALLENGES: A CASE STUDY FROM EDUCATION

Although it deals with education rather than water, the following fictitious case study, taken from Sharma's Advocacy Training Guide, is a useful example of some of the challenges facing an advocacy coalition made up of different interest groups.

'The Association for the Advancement of Education (AAE), a formal, multi-issue coalition consisting of the top ten children's, teachers', and education organisations in the country, began its campaign to increase education funding for secondary school development last January.

AAE had previously succeeded in increasing the number and quality of primary schools and felt it should now turn its attention to secondary education. In October, the group had debated the relative benefits of two advocacy objectives: increased funding for new secondary schools, or increased funding for teacher training, curriculum development and supplies/infrastructure for existing schools.

The consensus of the members present (several of the teachers' organisations could not attend the October coalition meeting) was to pursue increased funding for new secondary schools and to work on improving quality later. At the next coalition meeting in November, the teachers' associations objected to the decision and felt left out of the process. They were particularly upset that the coalition leaders had neglected to ask them for their opinions before a decision was made, and that they were not informed of the results of the discussion held in October. After several apologies and explanations the teachers' groups were quieted and reluctantly accepted the chosen advocacy objective.

The campaign progressed nicely during the following months in which AAE released an outstanding report on the need for more secondary schools, held several well-attended press conferences and met with key officials in the government. The coalition management also paid special attention to the needs of the teachers' associations which improved relations.

In February, as the funding increase gained substantial government support, the coalition learned that the government's plan was to raise a portion of the funds for the increase by decreasing teachers' pensions. Knowing that the teachers' associations would not accept this trade-off, the director of AAE held a private meeting with the associations to see whether some alternative source of funding could be found. They explored options such as drawing from military or higher education budgets and agreed that these ideas should be conveyed to key government staff on the committee working on the education funding increase.

When the AAE director met with the committee staff to propose paying for the increase with funds from other budgets, he learned that AAE's proposal came too late; the committee had already decided to present the original proposal to parliament.

The powerful teachers' associations then began a massive campaign to defeat the funding increase for secondary schools. The education and children's groups steadfastly supported the increase despite the cut in teachers' pensions, arguing that only 10% of the increase was coming from pensions and that government was going to cut pensions anyway. AAE itself could no longer play an advocacy role because its membership was now split on the issue.

In March the increase for secondary school development was defeated in parliament by a narrow margin. The coalition survived this episode, but relations between the teachers' associations, other coalition members, and AAE are strained at best. In addition, the credibility of AAE is diminished as officials in the government are uncertain whether AAE speaks clearly for its membership'.[65]

ADVOCACY ALLIANCES: AN EXAMPLE OF NETWORK OBJECTIVES

An international advocacy network, the Freshwater Action Network, has recently been formed with the following goal and aims:

Overall Goal:

Based on the principles of water as a fundamental human right, the people-centered approach to development and the protection and restoration of the hydrological cycle and ecosystems as the basis for sustainable water management; members of the network will seek to support the progressive and sustainable implementation of the UN Millennium Assembly target to halve the number of people unable to reach, or afford drinking water by 2015 and to stop the unsustainable exploitation of water resources.

Aims:

■ *Participation*

To increase NGO participation in policy making and support NGO advocacy around freshwater issues. The International Freshwater Conference, Bonn 2001 and the UN Earth Summit Rio+10 conference in Johannesburg 2002 present opportunities as organising events and tools, which focus attention and resources in the short term. In the long term the network can act as a forum for co-ordinated NGO campaigns on water and target other institutions or issues at different levels.

■ *Integration*

NGOs lobby for more integrated policy making and co-operation from governments or the UN, but NGOs themselves need to integrate their policy and advocacy work on freshwater in order to develop the practical and conceptual links.

■ *Co-operation*

To improve water policy and campaigning co-operation between NGOs of differing perspectives, priorities and skills. Also to improve co-operation and sharing of information with other 'friendly' organisations or individuals.

Functions:

■ Acting as a clearing house for information exchange, information generation and intelligence gathering on issues, policy processes, how and when to participate, national preparations, NGO initiatives and so on which relate to the meetings in Bonn, Johannesburg etc

■ Acting as a lobby for greater NGO participation in international policy making at an early stage

■ Engaging the media

■ Responding to requests for information about Bonn and the Earth Summit

■ Engaging NGOs in dialogue with one another across the sectors.[66]

Miza collects water in Andoakaolo, Madagascar. "Everyone is happy to have the pump as we now have good quality water and the pump is nearby so the women can spend less time collecting and carrying water."

PEVODE was established last year by the water users associations in seven 'streets' in Temeke Municipality, Dar es Salaam, Tanzania. The water users' associations came into being after Dar es Salaam Water and Sewerage Authority (DAWASA) gave the responsibility for rehabilitating the emergency water points installed during the drought years in the seven streets to the residents in the area for a period of one year. WaterAid was requested to assist in this rehabilitation project, and through the work of the Dar es Salaam office and the municipality, seven Water User Committees (one for each street) were formed to manage the boreholes.

The Water User Committees (WUC) were elected by residents in the streets, but the committees operated under the authority of the street government – local elected government officials. Over time, the seven water user committees realised that they had common problems:

a The street government was responsible for convening and chairing the meetings of the WUC. There were tensions between the chairs of the WUC and the street government, sometimes due to party political differences. These tensions got in the way of the running of the committees

b The WUCs collected tariffs from the sale of water from the boreholes they managed. The street government wanted to have authority over this revenue to use for other needs (apart from the operation and maintenance of the boreholes)

c The WUCs experienced common technical problems, such as repairs and purchasing of spares. They felt that if they worked together, they could get better deals from suppliers and technicians. The need for the water services was also increasing and they needed to ensure that the facilities were able to cope with the demand

d The WUCs found out that DAWASA had plans to privatise the system. They were concerned about the impact this might have on their ownership, albeit temporary, of the boreholes, and ultimately, on the services they have successfully organised themselves. They wanted to be in a position to speak with one voice to either DAWASA or the private operator about their water supply needs and issues.

The WUCs, with the assistance of WaterAid and a consultant, agreed that they would need to federate. But in order to do that, they first had to register as independent organisations from government. They undertook the registration as water user associations (WUAs), and then federated last year into the People's Voice for Development (PEVODE). Three representatives from the WUAs were elected, with the responsibility to discuss the mission and objectives of the Federation. In May 2000, membership was opened to other existing and interested water committees in the rest of Dar es Salaam. An interim board of 5 members was then elected, tasked with drafting the constitution and registering the federation as PEVODE.

PEVODE's aims include:

a Support to water user associations: sharing experiences and analysis of problems; ensuring integration of sanitation and hygiene promotion with water supply development; capacity-building of weaker committees through advising/counselling and training

b Awareness raising in the streets to improve commitment and support from water user associations

c Forum for discussion of problems and achievements

d Representation and advocacy to local government, DAWASA, and private operators on the issues of the urban poor, their access rights to water and sanitation, and the impact of privatisation

e Networking.

2.7 Defining the message

When you have completed your research and analysis, set your objectives and identified your targets and allies, it is time to define your advocacy message. Based on these previous stages of the advocacy planning cycle, the message is a summary of the change you want to bring about and by when. It may also include the reasons why you feel the change is important and the action you would like the audience to take in response, but it must be brief and concise to have the maximum impact.[68] Although you will undoubtedly have supporting documents and more detailed information to present as part of your advocacy initiative, you need to be able to summarise in one or two sentences what your advocacy message is all about – imagine that you have 30 seconds on national TV to make your case. While you may never get the chance to talk on TV, defining your advocacy message is an important part of crystallising what you are aiming for, particularly between partners in an alliance, and summarising the most significant aspects.

Your message may vary depending on the audience you are presenting it to. While your overall position on the advocacy issue will not change, you will probably have to adapt the way you present your message to achieve the greatest impact on different audiences. This is called 'framing' the message. Some people have expressed concern that this can imply watering down a strongly-held belief or even presenting false information, and suggest that the facts should speak for themselves. However, framing the issue is simply taking into account the preferences and position of the target audience, and presenting it in a way that will reach them. '*What underlies all advocacy efforts is a proposed change in power equations – an essentially political activity. And in the political world, there is no issue which is seen as completely just or right to all parties or individuals…Framing the issue therefore demands both a detailed study of the targets and a comprehensive knowledge of one's own issue*'.[69]

A fictitious example of an advocacy issue framed in different ways for different audiences is given below:

Advocacy issue: lack of clean water and sanitation facilities in rural Tanzania	
Audience	Message
Decision-makers	Nationally, diarrhoea accounts for 20% of under-five child mortality and intestinal parasitic infections continue to undermine maternal and child nutritional status, physical and mental development. A small investment in clean drinking water and low-cost sanitation facilities will yield a large return in terms of child and adult health and survival. We would like to request a meeting with you to discuss this issue further.
Broadcast media and the press	Wangai is 6 years-old. His mother walks 5 km each morning to the nearest clean water point to collect drinking water for the family. However, when Wangai and his friends are thirsty, they drink from the nearby river bed, where the cattle and goats drink. Wangai's family have no latrine and use the riverbed in the early morning before it is light. Wangai has two brothers and one sister: he had another two sisters, but both died of dysentery before they were four years-old.
	Wangai has visited his cousin who lives in the nearby town, where there is a good water supply and each house has a latrine. He has seen that his cousin's family do not fall ill and his aunt has lost no babies because of sickness. He wishes there were similar facilities in his village.
General public	Clean water saves lives: water-borne diseases and poor sanitation today claim thousands of lives in rural Tanzania. Each village should have at least one borehole and adequate latrines. Talk to your local councillor today to find out how you can help to bring life-saving facilities to your own village and see your children flourish.

The knowledge gained from the research and analysis stages earlier in the advocacy planning cycle is therefore essential in framing the message. For example, knowing the issues which your advocacy target does care about may enable you to make links in your message between your issue and their concerns, and therefore increase the likelihood of the target responding positively (see Table 5 in Section 2.5). However, the process of defining and framing the message has to be consistent with your overall position: '*framing the message has to be done without diluting the facts, compromising on core values, and/or undermining people's movements*'.[70]

DEFINING THE MESSAGE: COMMUNITY PARTICIPATION IN URBAN WATER SERVICES

Tearfund has recently carried out some research on community participation in urban water services, which has been written up in a report to be sent to water companies, engineering consultancies, donors and others. The report is designed as a lobbying tool to advocate to international water companies the importance of integrating community participation into their practices.

The advocacy message targeted specifically at the water companies is as follows: *it is in the commercial interest of private international water companies involved in urban water* *systems in developing countries to include poor communities in their business practice*. The research report provides detailed evidence and arguments to support this message, together with suggestions on how it can be implemented and possible procedures for field operations.[71]

DEFINING THE MESSAGE: WATER SUPPLY FOR NON-LEGAL SETTLEMENTS

WaterAid has been working with a Bangladesh NGO, Dustha Shasthya Kendra (DSK) to assist urban slum dwellers in Dhaka to gain access to water supply points, in spite of their lack of land tenure (the activities of this project are described in more detail in the case study Box in the following section). The project has succeeded in establishing a number of water points for community members in the slums. However, land tenure issues remain a problem. With the exception of the separately negotiated project-supported water points, the Dhaka Water Supply and Sewerage Authority continues only to recognise official land ownership as the basis for rights to a water supply.

An advocacy message therefore emerges: *government authorities need to de-link provision of services from land rights, and to recognise the needs of unofficial slum communities*. This is one of the challenges facing DSK and WaterAid in the future, in order to facilitate the provision of waterpoints throughout Dhaka's slum communities.[72]

2.8   Choosing approaches and activities

Advocacy does not have to be confrontational. There is a range of approaches that can be employed, some are confrontational while others involve working alongside advocacy targets to achieve the desired change. These approaches can be placed along a continuum, as follows:

Co-operation – education – persuasion
– litigation – contestation[73]

An advocacy initiative may involve more than one of these approaches at any one time, or over time, particularly if it is being carried out by an alliance or group of organisations. As mentioned in Section 2.6, one of the advantages of collaboration is that two organisations may employ different approaches to the same advocacy target, depending on their own organisational skills and experience, while working towards the same end. One study describes four ways in which NGOs try to achieve influence, which fit into different parts of the continuum above:

1   'Collaboration, reform and entryism (insider strategy)

2   Complementary activities (insider strategy)

3   Direct opposition (insider or outsider strategy)

4   Indirect, generalised campaigning (outsider strategy)'[74]

This report also notes the increasing use of 'insider' strategies among UK NGOs, as a result of the closer relationship between NGOs and donors described above in Section 1.2. In these cases, NGOs are having to learn new tactics that are less confrontational than the approaches they have previously used.[75] As mentioned above, while providing new opportunities for influence, this closeness brings with it concerns about the ability of NGOs to retain their independence under such circumstances.

CHOOSING APPROACHES: WATERAID ADVOCACY PRINCIPLES

WaterAid has prioritised the following strategies to underpin their advocacy work, to help ensure a common basis for advocacy throughout the organisation:

■ Working from knowledge and evidence

■ Entering dialogue on priority issues

■ Working in alliances/partnerships/ networks

■ Building capacity

■ Creating and promoting awareness[77]

There is a range of activities that you may choose to undertake to achieve your advocacy objectives, many of which are used in combination with each other. Some of them are as follows:

■ Policy analysis (proving the case for policy change and alternatives)

■ Demonstrating solutions ('good practice' advocacy through positive project work)

■ Action research (documenting others' policy or good practice especially their impact on poor women, men, girls and boys)

■ Awareness raising (with the advocacy target or the general public)

■ Campaigning ('*marshalling a range of activities in a specific, usually short-term, time-span to highlight and publicise your advocacy issue… mobilising public action in support of the changes you are seeking*')[78]

■ Building partnerships and networking (working together with others)

■ Media work (raising awareness to the media, the general public and others)

■ Mobilising the general public (to encourage them to put pressure on decision makers and demonstrate the public's concern about an issue)

■ Creating ways for people to act for themselves (facilitating people's participation in their own advocacy causes)[79]

These activities are broken down into specific advocacy tools, which are discussed in Section 2.9.

The approaches and activities you select will be based on a number of factors:

■ Your analysis of the issue and the target

■ Your analysis of what/who influences the target

■ Your resources (financial, staff, time, contacts and networks, relationships etc)

■ Your aims

■ Your organisation's ways of working (see Box above for the example of WaterAid's organisational principles for advocacy).

▶ **Section 2.9: Selecting advocacy tools**

ADVOCACY: WHAT'S IT ALL ABOUT

THE INSIDER APPROACH: ZAMBIA

As described in Section 2.3.2, in recent years WaterAid in Zambia has been involved in the provision of the 'software' of borehole construction in certain districts to accompany the 'hardware' provided by the Japanese-funded JICA Rural Water Supply Programme. Through this work, WaterAid has been able to influence JICA's approach to water supply provision and the forthcoming phase of the programme includes the 'software' aspects as an integral part of the work. WaterAid has been asked to contribute to the planning, and possibly to the implementation, of the coming phase.

Through co-operating with the JICA programme on 'software' provision, WaterAid hopes to be able to influence JICA further, notably in two key areas: a) expanding this choice of technology because boreholes are not the only appropriate technical option; and b) including hygiene and sanitation as part of an integrated package, rather than concentrating solely on water source provision.[80]

DEMONSTRATING SOLUTIONS IN DHAKA

A Bangladesh NGO, Dushtha Shasthya Kendra (DSK), has been piloting an innovative approach to the provision of water for urban slum dwellers in Dhaka, with the support of a number of international agencies.[81] The Dhaka water authority does not have the flexibility to provide water to informal groups with no legal status, such as those living in the city's slums. DSK provide an 'intermediation' role between the slum communities and the government. They help to organise community groups, providing training in managing the water supply, obtaining community contributions, organising credit, and providing technical support for the design of the water points. Group leaders are also trained in how to access formal utilities.

Finally, with the support of DSK, the groups approach the water authority and sign an agreement for the provision of the water point. Once it is constructed, the group manages and operates the water point, repays the capital cost to DSK and pays the water bills to the water authority.

Nineteen of the originally planned 20 water points are now in operation and an additional 10 have since been completed. The loan recovery rate is satisfactory and the groups are all expected to be able to complete repayment during the agreed time schedule, after which time they will take full responsibility for management of the water point. A second phase has been planned to cover another 30 water points to be installed by DSK and a further 36 by other NGOs, with technical support from DSK. The success of this pilot programme has generated interest from other NGOs and agencies, including UNICEF, which have begun to replicate the approach for themselves.[82]

THE KARACHI SEWERAGE PLAN CAMPAIGN

The Karachi Water and Sewerage Board in Pakistan had proposed the development of a sewerage system for Korangi Township, to be funded largely by the Asian Development Bank (ADB) costing US$95.4 million. A number of concerned Karachi NGOs and local Korangi community-based organisations protested that billions of rupees had already been invested in infrastructure over the last three decades and that this existing infrastructure should be integrated into the new plan. They proposed an alternative plan, based on the Orangi Pilot Project model (see Box in Section 2.3.3), which would develop existing disposal points and connect them to the new treatment plant, rather than constructing new ones. This alternative plan would cost only US$25 million and require no loan from the ADB. In April 1999, the then Governor of Sindh agreed that the ADB loan need not be taken. The NGOs encouraged Korangi community-based organisations and residents to send petitions to the ADB in support of this decision. In September 1999, the ADB cancelled its loan and an alternative sewerage proposal was accepted by the Government of Sindh, at a final cost of US$15.18 million.[83]

THE PATUCA DAM CAMPAIGN

MOPAWI, an NGO based in La Mosquitia region of Honduras, has been working with the indigenous people to negotiate with the government to secure tenure to the land they have lived on for generations.

In 1996 the Honduran government contracted two North American companies to build a dam on the Patuca River, one of the key waterways in the region, in order to provide electricity to the national grid. MOPAWI and the local communities were concerned about the effect of the proposed dam on the local ecosystem, the transportation system and on food production, and so they organised a campaign to raise awareness and promote alternatives. They took the following steps:

■ Networking with organisations: MOPAWI joined with other concerned groups to form a campaign coalition

■ Working with the community: many popular awareness raising activities were organised, including seminars, radio programmes, and a press conference

■ Lobbying at government level: MOPAWI staff met with the government and the construction companies to discuss the issue, in private meetings and in a public forum in the capital city, to which the government, companies, indigenous groups, environmental groups and the media were invited

■ Working at international level: MOPAWI contacted partner organisations such as Tearfund, the Native Lands Group in the USA, and the International Rivers Network, and asked them to put external pressure on the companies to halt the plans for the dam.

As a result of the campaign, and in particular of the evidence that the coalition drew up on the prospects of the dam silting up in a short time, the companies withdrew from the dam project. The Honduran government still hopes to build a dam and is looking for other partners, but the members of the coalition feel ready to deal with future proposals.[84]

THE PARTNERSHIP APPROACH: THE UGANDA NGO FORUM

At a meeting between NGOs and the government water department in 1997, concern was expressed by government representatives about the lack of co-ordination between NGOs working in the water and sanitation sector in Uganda. The role of NGOs and civil society bodies was also unclear. As a result of this meeting, WaterAid was given responsibility for establishing a co-ordinating body for the sector. However, due to project commitments in the field, it was not until early 2000 that WaterAid was able to initiate this process by organising a national conference. The conference was attended by over 90 NGOs, as well as government (local and central), donor and private sector representatives. It provided a forum for communication between NGOs and government, as well as an opportunity for the smaller NGOs and Community based organisations (CBOs) to make links with larger NGOs and donors. The key outcome was the establishment of an 11-member Task Force to develop a Forum for NGO co-ordination. The objectives of the Forum are to:

■ Strengthen the collaboration between NGOs and government departments at central and local government levels

■ Strengthen co-ordination and networking of sector NGOs/CBOs at local/central government and international levels

■ Promote the development and implementation of sector policies, strategies, standards and guidelines at all levels.

WaterAid Uganda initially seconded its Head of Advocacy and Partnership Unit to the Task Force as Co-ordinator, and provided office space for the Task Force. By 2001 the Task Force has drafted a constitution, obtained four years funding, completed the registration process and organised a second conference held in November 2000, at which the NGO Forum was formally launched.

The Forum raises the profile of NGOs in the sector, facilitating their contribution to key policy processes (for example the drawing up of the national Poverty Eradication Action Plan), and strengthening their advocacy voice.[85]

2.9   Selecting advocacy tools

NGOs use a wide range of tools to get their advocacy message across. Selecting the most appropriate tools for your work builds on your analysis of your advocacy targets and involves considering how they are most likely to be influenced.

CHOOSING ADVOCACY TOOLS: HOW ARE YOU INFLUENCED?

This exercise encourages participants to think about how they themselves are influenced, in order to provoke thinking on how best to influence advocacy targets.

Step 1   Participants are asked to select a decision they have recently made, at work or at home

Step 2   Participants list the following:

■ What was your final decision?

■ What was the competing information?

■ What information convinced you to change your mind?

■ What means or media was used for the information to reach you?

■ Why did you believe it?

Step 3   Participants share their lists with the rest of the group and discuss the means by which they are most influenced

Step 4   The group then discusses the selected advocacy targets and which means or tools will be most effective in reaching them.

This exercise helps participants to understand that each decision-maker will be influenced more by some methods than by others, and that in many cases a range of appropriate methods can have the greatest effect.[86]

Some of the most common tools used in advocacy are as follows:

■ Lobbying
■ Meetings
■ Negotiation
■ Project visits/ demonstrations
■ TV
■ Radio
■ Drama/theatre
■ Audio cassettes
■ Reports
■ Letter writing
■ Leaflets and news sheets
■ Video
■ Slides
■ Press
■ Posters
■ Email/internet

Each method or tool has advantages and disadvantages in terms of its potential to reach a wide number of people to involve others, and its cost-effectiveness. Some of these are considered in the following table, which summarises in a simple way some of the pros and cons of various methods, while accepting that the value of most methods depends on the manner and context in which they are used:

Table 6	Pros and cons of selected advocacy tools			
	Potential to reach poorest	**Participatory potential**	**Potential number of people reached**	**Cost-effectiveness**
Leaflets and news sheets	+	+	++	+
Interpersonal meetings	+	++	—	-
Video	-	+	+	—
Television	—	—	++	—
Audio cassettes	+	-	+	-
Radio	++	+	+++	++
Theatre/drama	++	++	++	++
Slides	-	-	-	-
Posters	+	-	+	-
Email/internet	—	++	++	++

Key: +++ most likely to be applicable   Source: Burke 1999.
      — least likely to be applicable

TOOLS FOR REACHING THE GENERAL PUBLIC

In some advocacy initiatives, the selected approach may involve mobilising the general public (as an 'influential') to influence policy makers, through a public awareness campaign or similar activity. IPPF's (International Planned Parenthood Federation) Advocacy Guide lists some tools that are particularly useful for reaching the general public, in addition to the media (press, TV and radio):

- Flyers
- Pamphlets
- Booklets
- Newsletters
- Annual reports
- Position papers
- Fact sheets
- Canvassing
- Petitions[87]

MOBILISING THE GENERAL PUBLIC: WORLD WATER DAY IN INDIA

WaterAid India has been involved in organising large public celebrations of World Water Day in many of the states where it is working. In 2001 the largest ever celebration took place in Andhra Pradesh, where over 14,000 people, many of them women, participated in a celebration focusing on hygiene and sanitation, attended by the District Collector and other district government politicians, officials and dignitaries. The event attracted interest from senior state and national level officials, and demonstrated public awareness and concerns about water and sanitation issues.[88]

Açao Evangélica (ACEV) is an association of pentecostal churches in Brazil involved in various development and relief projects. Alongside its well drilling programme, ACEV carries out water advocacy work. For the last seven years they have been campaigning for a pipeline to be run from the Coremas reservoir to the Patos, São Mamede and Santa Luzia region. They have held regular public meetings with MPs, the Secretary of State for Water Resources, the head of the state water board, the Mayor and local councillors.

One day, ACEV organised a 'can-bashing day' to demonstrate public concern about the pipeline. Five thousand people were involved in the demonstration, which culminated in a public meeting with speeches from the top of a lorry. Local politicians, who had anticipated a low turn-out, quickly joined in the march and demonstration when they saw the large numbers of people involved and the TV cameras.

In spite of this event, and a subsequent petition to the State Governor, ACEV have received only promises but no progress in the construction of the pipeline. However, they are not discouraged, but believe that continued pressure and demonstration of public concern will eventually lead to the building of the pipeline. Recently the State Governor made a commitment on the radio to starting work on the pipeline as soon as possible. While he may not keep his promise, ACEV see this as an opportunity for leverage, to hold the authorities to a public announcement. They are also planning to hold meetings with the opposition politicians to increase the pressure in the period leading up to the state and presidential elections in 2002.[89]

When drawing your advocacy plan, you will need to identify which tools you will use in relation to each of your advocacy targets and 'influentials', for each objective. The following paragraphs deal in turn, with each of the key tools listed at the beginning of this section, defining what they are and outlining helpful tips. Many of them overlap or are used in conjunction with each other. For example, negotiation is a tool which may be used in meetings as part of a process of lobbying.

2.9.1 Lobbying

Lobbying can be defined as '*trying to influence the policy process by working closely with the individuals in political and governmental structures'*.[90] When lobbying targets, remember:

- 'The bus is crowded': government decision-makers are lobbied by many different groups: how will you stand out from the crowd?
- Choose objectives which are achievable
- Prepare a plan of action: build a strong case; identify precise policies which need changing; contact like-minded organisations for potential collaboration and support; formulate the proposal and request a meeting with the targeted individual

- Prepare a strategy to get yourself and the issue heard: locate crucial person A and the people who influence A; locate key officials sympathetic to the proposal and try it out on them, get ideas how best to influence A from them. Invite influential officers to visit your programme to familiarise themselves with your work; use the media to create a favourable climate for your proposal; create contingency planning if your proposal is rejected
- Follow through if your proposal is accepted: suggest a drafting committee is established with a representative from your organisation; offer your organisation's services to assist the officer responsible for implementing change. If your formal offers are rejected, keep informal contact; follow through all procedural levels until policy change becomes a reality at all levels.
- Thank everyone involved. [91]

THE BLOCK BORK CAMPAIGN: AN EXAMPLE OF TARGETED LOBBYING

Bork, an extreme right-wing US judge, was nominated to the Supreme Court, to the dismay of many organisations and individuals who were aware of his 'insensitivity to minorities and women'. A coalition of organisations launched the 'block Bork' campaign, to encourage the Senate Judiciary Committee to vote against his nomination. One of the key activities was lobbying:

'From the moment Supreme Court Justice Lewis Powell resigned, the anti-Bork coalition lobbyists began meeting weekly with key Senate Judiciary Committee staff. In daily, face-to-face office visits and phone calls, the coalition's insiders were in constant contact with the Senate staff members – and, not infrequently, with the coalition's Senate leaders. They worked in tandem with their supporters in the Senate – trading papers, swapping political intelligence, unearthing and analysing Bork's record, plotting themes and strategy, and helping to plan the structure and content of the hearings'.[92]

LOBBYING GOVERNMENT: AN EXAMPLE FROM INDIA

In the district of Visakhapatnam in Andhra Pradesh, water supply was dependent on handpumps supposedly maintained by local government departments. The Government-employed mechanics struggled to support 300-400 handpumps each with virtually no back-up service for spare parts and toolkits. This resulted in the breakdown of many pumps and the investment in them was almost completely wasted. In response to the water crisis provoked by this lack of maintenance, VISWA SAMAKYA, a network of NGOs in the district, with the technical and administrative support of the Training and Development Centre, Hyderabad, initiated a project to train community groups to maintain and manage their water sources. WaterAid in India and Oxfam (India) Trust provided financial assistance. The project aimed to enable the community to manage their own water sources. This involved regular maintenance, training 'community mechanics' in each village to reduce the breakdown period of the pumps by increasing the number of mechanics per pump, increasing the communities' access to spares and tools.

Government mechanics are not very receptive to the idea of community mechanics having access to village handpumps, fearing they will deprive them of their additional income and control over the pumps. In India all deep bore wells are owned by the Government and under normal circumstances can only be opened for repair with the formal approval of the authorities. It was therefore essential to get government permission for the project. The Government had a budget for the maintenance and repair of the pumps. To demonstrate that community management of the hand pumps was possible, the community had to create its own fund to provide spares and materials in order to bring all the pumps into working condition. Government acceptance and support was essential to give recognition to the community mechanic and the community groups. Progress was painfully slow, but eventually a basic understanding was reached with government officials. The NGO network wanted a written agreement with the district government to give formal support to the collaborative model drawn up by the NGOs. Only this would enable replication of this system all over the state. The network drafted a document and so began a period of patiently and persistently trying to persuade senior district officials – the District Collector, the Chief Executive Officer, the Superintendent Engineer, and the Project Director of the Rural Development Administration – that the new structure had many benefits.

'After initial caution, all four key officials became extremely supportive of the network's proposals. Collaboration with government mechanics continues and the government continues to provide replacement spare parts to community spares banks. The government now accepts that the community has a major role to play in handpump maintenance, and relationships between government, NGO staff and communities are much closer'. [93]

The Vishakapatnam experience has influenced the Government of India to revise its policy and acknowledge that the maintenance of water sources can be handed over to established community maintenance committees.

2.9.2 Meetings

Meetings are a key advocacy tool, often used as part of a lobbying strategy. Some hints for conducting a meeting are as follows:

■ Make sure you are well briefed on the issues – this will increase your confidence and your credibility

■ Open the meeting by praising the decision maker for their past support (if this is true)

■ If you know that the decision maker is hostile to your position, open the meeting by pointing out areas of common ground or mutual interest, then proceed

■ Decide who will make the points from among your group; allocate roles including lead spokesperson and note taker

■ Present the most important points first

■ Give the decision maker time to talk

■ Anticipate the counter arguments which the decision maker may make and have your answers prepared

■ Try not to let the discussion get off track; if it does, interrupt politely and bring the discussion back to the central issue

■ In terms of style, engagement is usually more effective than condemnation. It may sometimes be appropriate to be tough, it is seldom appropriate to be confrontational

■ If a question comes up that you cannot answer, say you will get back to them, and always follow up such a promise

■ Be clear on what you want the decision maker to do (but be flexible) and gain firm commitment from them

■ At the end of the meeting, thank the decision maker for their time and re-state what you understand they have said they will do

■ Follow up with a thank-you letter, confirming what was agreed.[95]

2.9.3 Negotiation

Negotiation is a particular form of interaction in which two or more interest groups try to reach a common position, from different sides of a debate. It may be carried out on a one-to-one basis, or through a meeting between several representatives of each side. The tips for conducting a meeting presented above also apply to this process, while some additional points are given below:

■ Clarify your goal: what outcome do you want? Will it solve the problem? Is it realistic?

■ Know your target: use your analysis of your target's values, knowledge and experience to inform your tactics

■ Indicating a willingness to compromise at the outset can be effective, creating a friendly climate. This can help in identifying the true reasons for opposition to change

■ Listen fully to the other person

■ Use consistent body language: keep your voice calm and regular, relax your shoulders, be conscious of what your demeanour and tone are indicating

■ If power holders stick to a no-change position, this can be an effective tactic in the short-term, but ultimately paralyses the process

This training exercise uses a simulation game to develop negotiation skills among advocacy workers:

Step 1 Participants are divided into conflicting interest groups (for example, community members, local private company representatives, local government, international donors, international water supply companies) and given a draft bill to analyse (for example on the privatisation of water supply services).

Step 2 In their interest groups, they discuss the bill, debate their position and draw up a negotiating strategy, including their minimum and maximum positions.

Step 3 The participants come back together and re-divide into groups made up of one representative of each viewpoint, and negotiate a final draft of the bill.

Step 4 Participants come back together again and discuss the following:

■ What was the process involved in deciding a minimum and maximum position?

■ What happened in the negotiating groups?

■ Which interest group gained the most and why?

As well as a useful way of practising negotiation skills, this exercise can also be used by an advocacy team to develop a real negotiating position on a particular issue. [97]

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■ While it is important to have minimum and maximum positions, it is not effective to put them out on the table initially. If a negotiator reveals the least they are willing to settle for, the opposition will not be motivated to negotiate beyond that minimum

■ Alliances, particularly with influential groups or individuals, can strengthen a negotiating position

■ Information can be a powerful negotiating tool – case studies, statistics, facts and figures are all persuasive

■ Bargain: 'this is what I need. If I give you x, what are you prepared to offer?'[96]

2.9.4 Project visits

Project visits are a key tool for what is sometimes called 'good practice advocacy', in which government or other agencies are encouraged to improve their programmes by seeing a positive example of alternative practice. Visits may also be usefully made simply to a community and not only to a 'project'. Project visits can be a very effective tool in convincing sceptical decision-makers, and also have the advantage of providing an opportunity for community members to speak on their own behalf. On the other hand, only a limited number of people can take part in a project visit (compared to, say, reading a report), and it requires a minimum commitment of time and interest on the part of the decision-makers which senior officials may not be willing to make.

'SEEING IS BELIEVING': USING VISITS IN ADVOCACY

CORD is a British relief and development agency working in Rwanda, committed to helping refugees, children and marginalized people, both at times of crisis and post emergency. UNICEF had devised a national programme entitled 'Water and Environmental Sanitation' for water development in Rwanda. Looking at the country's water problems from a national perspective, UNICEF had decided on a standard solution for every area. CORD was given a quota of materials and money by UNICEF in Spring 1998 to protect 40 springs in the area they worked in.

However the majority of the springs in CORD's area of operation were technically very difficult to protect and people had been encouraged by the government to move from the valley where the springs were situated, to the hilltops. CORD also felt that there was an area outside the one identified by UNICEF where the springs were easier to protect and would provide cleaner water which would be much easier to distribute. Consequently CORD did not feel comfortable with carrying out the UNICEF proposal and established the following two advocacy objectives:

■ To convince UNICEF that it would be unwise and impractical to carry out its proposed solution in the designated area

■ To persuade UNICEF to agree that they should let CORD use the same money and materials to protect springs in another area.

At first CORD attempted to change UNICEF's mind by visiting their offices to have meetings with officials and by various telephone calls and letters. This was judged by them to have been ineffective – UNICEF would not change its mind. So CORD decided to change methods. They invited some people from UNICEF to come and visit the site of the proposed spring protection in the valley. They walked from the hilltops where people were living down to the valley where the springs were situated and then back up the hill again, the very route women would have to walk to have access to the water from the protected springs. As the UNICEF officials walked back up the hill there was a change of heart as they realised that their solution was impractical. UNICEF finally officially agreed that the quota of materials they had supplied to CORD should not be used to cap the springs in the original valley. Moreover they agreed to let CORD use the materials for the other project.[98]

2.9.5 Reports

The way in which you present the results of any research you carry out is as important as the quality of your research. A detailed and thorough write up of your research and analysis is useful for internal purposes and as a basis for your advocacy planning, but if the information is to be used as an advocacy tool, it needs to be tailored to the audience that it is intended for.

As the SCF advocacy handbook notes: *'too many organisations put too many resources into publishing long, dense reports that few people will have the time to read. Often the more important the person, the less time they may have to read each document. Short, clear summaries are vital. They must catch the attention and quickly communicate the key points'.[99]* Most reports contain an executive summary (which is often the only part of a report actually read). However, a report destined to be read by an advocacy target or influential should also contain a brief list of the key points (only 3 or 4), describing the action that you want your target to undertake. These points should be based on the same SMART criteria that are used in drawing up objectives: Specific; Measurable; Achievable: Relevant; and Time-bound (see section 2.4).

For a report to be an effective tool, you need to have decided the exact use that it will be put before it is written, as well as strategies for disseminating it.

2.9.6 Letter writing

Letter writing can be a useful advocacy tool, but like all the others needs to be carefully planned and targeted. Public figures receive hundreds of letters, so you need to be sure that you are targeting the right audience, that it is the most appropriate way to get your message across and that your letter gets noticed among the many others. Letter writing may be best used in conjunction with other tools – for example to raise the issue with your advocacy target, prior to requesting a face-to-face meeting. Some tips for letter writing are as follows:

■ Be brief, no more than one or two pages, although documents or other materials can be attached

- Your tone should be firm but courteous, no threats, and you should feel comfortable with the letter being made public

- After a brief introductory paragraph, state clearly the purpose of the communication

- Try to mention something on which you agree with the recipient of the letter (establishing common ground)

- Correct your spelling and punctuation

- Always keep a copy of your letter

- All signers should receive a copy

- It is often useful to send copies to other influential actors.[100]

2.9.7   Leaflets and news sheets[101]

Again you need to be sure that your target will read any leaflets or news sheets that you produce. Once you have decided that this is an appropriate tool, you need to design your leaflet or news sheet in a way that will have the maximum impact on your audience. The following points should be borne in mind when planning a leaflet or news sheet:

- Your headings should be eye-catching while avoiding the sensational

- As with letter writing, you should ensure that all the spelling and punctuation is correct, and that the presentation is as neat and high quality as possible

- The content should include a simple presentation of the facts relating to your advocacy issue, and a clear statement of what you want your audience to do about it

- How you distribute the leaflets or news sheets will again depend on your target audience and the resources you have available. Obviously, the wider the distribution, the greater the potential impacts. If you have very limited resources, you may decide to target the distribution very specifically to key audiences (or to select a different tool).

2.9.8   Posters

The guidelines for poster production are very similar to those for leaflets: posters should be eye-catching, informative without being too wordy, and should present to people in as concise a manner as possible what the issue is and what they should do about it. High quality presentation will have a greater impact.

2.9.9   Video and drama[102]

Drama provides an opportunity to present facts and issues in an entertaining, culturally sensitive and accessible way. In many societies, drama is a form of indigenous communication through which people can comfortably express their views.
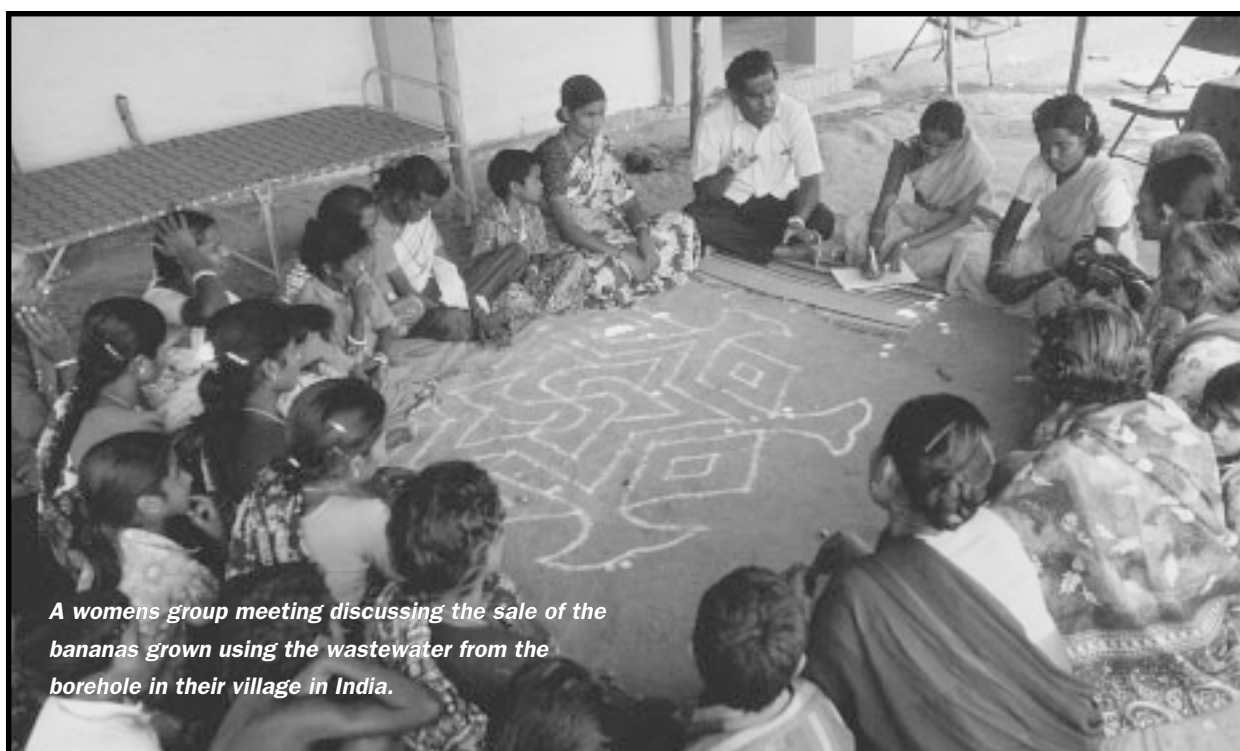
A womens group meeting discussing the sale of the bananas grown using the wastewater from the borehole in their village in India.

The role of the media varies greatly around the world, and in different communities. It is important first to assess your advocacy targets and influentials (see Section 2.5) and find out which forms of the media they have access to and are influenced by, before rushing to make a radio broadcast or write a newspaper article. The media is targeted at the general public, but can have considerable influence over decision makers who respond directly to articles in certain prestigious newspapers or certain programmes on the television and radio, who are aware of their influence over public opinion. Many rural communities now have access to radio, and some read national newspapers on a daily basis. Urban, industrialised populations may be more easily influenced through television, while professional audiences may respond to articles in key publications and periodicals.

Having researched which media will have the most influence over your targets, you need also to research the media itself. These are some of the questions you might ask:

■ Which publications or programmes already cover your issue or similar issues? How do they pick up new stories?

■ Who are the journalists who usually write about topics closest to your issue?

■ How free are they to say what they think (is there censorship)?

■ What is the style and format of the various programmes/publications and how can you fit in with this?

■ How can you contact them?

The media tends to use 'stories' which they think will interest the public. They focus on up-to-date news, so you need to be aware that a sudden catastrophe or unexpected event may overshadow or push out your carefully presented item. It is also important to 'educate' members of the media about your particular issue – this could be done through training and briefing sessions with targeted members of the press who cover topics about your issues.

The press release is the most common means of giving information to the media (TV and radio, as well as print), see the Box on page 61.

However, the number of people reached is limited compared to other means, and some critics suggest that it can trivialise serious issues.

Video is a relatively expensive advocacy tool involving technology vulnerable to heat, humidity and other damage. However it has the potential for impact among both audiences with low literacy (assuming the facilities for broadcasting are available) and northern audiences increasingly attuned to audio-visual presentations rather than the written word.

Although both video and drama are traditionally forms of one-way dissemination of information or ideas, both have the potential to be more participatory. For example, drama can involve village communities acting out their concerns or viewpoints; during video recording the camera can be 'handed over' so that people are free to record what they feel is important. In advocacy work, video may provide the opportunity for grassroots communities' voices to be heard in forums that they cannot reach in person.

2.9.10 The mass media

The mass media (television, radio and press) play a significant part in advocacy, through influencing policy makers directly or through changing public opinion on an issue. Therefore at the same time they can be both a target/'influential' and an advocacy tool.

a Television

Television has a number of advantages and disadvantages. On the positive side, it reaches an increasing number of people in some countries.[103] TV programmes (in particular news and current affairs) often reach key decision makers and can influence national agendas. The main drawback in using television in advocacy is the fact that large numbers of people are excluded from access to television (in particular in sub-Saharan Africa).[104] If you decide to make your own television programme, it can be very costly (often over twenty times the cost of making a radio programme).[105]

b Radio[106]

Some of the advantages of using radio are as follows:

■ Radio reaches a wider audience than any other medium[107]

- Radio can motivate people by building on oral/ aural traditions and stimulate the imagination better than video or television

- Radio programmes are cheap to make compared to television and video

- Radio receivers are widely available, comparatively cheap and portable making them convenient for listeners

- Radio can reach people who are isolated by language, geography, conflict, illiteracy and poverty

- Radio can help create a demand for services and convey vital information

- Radio gives listeners the opportunity to make informed choices about decisions, and can give them greater self-determination over their lives.

However, like all the tools discussed in this section, there are some drawbacks:

- Radio is a transitory medium: information may not be retained by listeners who cannot ask for the information to be repeated or clarified

- In the wrong hands radio can heighten people's fears and prejudices

- Many people lack access to electricity and batteries are expensive

- Radio is generally a one-way medium: it offers no immediate opportunity to ask questions or to respond.

Audio cassettes share some of the benefits and drawbacks of radio. They may be more costly to produce in large numbers, but unlike radio programmes can be retained as a record of the content.

c Press

The normal channel for accessing the written press, TV or radio is through a press release. However, it is useful to have already built up good professional relationships with journalists from the national or international press so that you are able to target your press releases more effectively when the time comes. An understanding of the role of the press in your country; whether they are outspokenly critical of the government or government-controlled; which audiences they reach (ie who they can influence); and the style and tone of the different publications, will all help you to make the best use of the press for your advocacy work.

It is also important to know about the existence of news services and news agencies in your country

Women constructing a maize mill in Ndalata, Tanzania

WATERAID/JIM HOLMES

and how to get in touch with them. These news agencies usually retain a corps of correspondents covering different topics in many countries. Often, TV, radio and the print media would pick up stories from news agencies, written by these correspondents.

Press releases can provide different functions, as follows:

■ Give advance notice of an event
■ Provide a report of a meeting
■ Convey important decisions/announcements
■ Announce new campaigns and provide progress reports
■ Give general background information
■ Give details of a report
■ Circulate speeches in advance.[108]

A press release gives you the opportunity of presenting your viewpoint directly to the press without it being filtered through anyone else, and at the time that you choose. Press releases usually follow a standard format, which enables journalists and editors to access relevant information quickly and easily.[109]

2.9.11 Slides

Slides are generally not very cost-effective and do not reach wide numbers of people in the same ways as other tools such as radio or television. However, they may be a useful supplementary tool to support a presentation at a meeting with key decision makers when a striking visual impact is required (for example, good photographs of the environmental and social impact of dam construction). As with most advocacy tools, they should be of as high quality as possible, and the number should be limited (10-15 good slides have a greater impact than 25 -30).

2.9.12 Email/Internet

Access to electronic mail and the internet varies enormously. Some audiences use it on a daily basis, for many others it is an unknown medium. These tools are therefore only appropriate for certain audiences.

Email is a useful way of mailing a large number of people quickly and cheaply, although remember that it is generally considered a less formal means
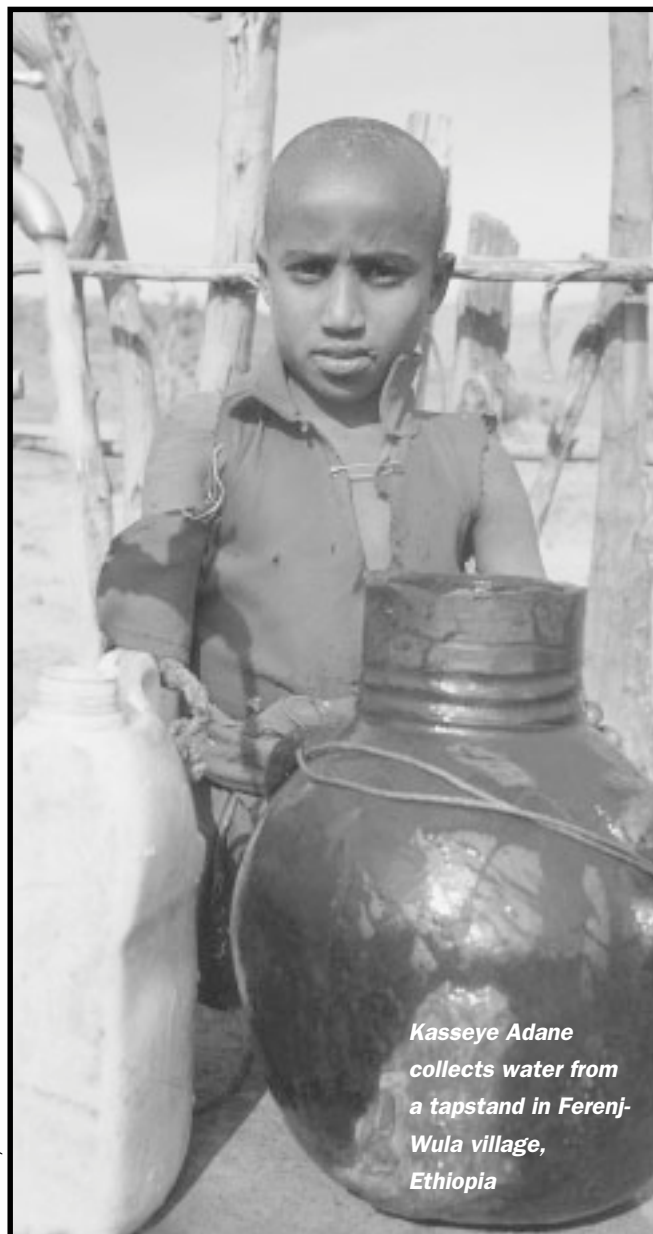
WATERAID/JENNY MATTHEWS

Kasseye Adane collects water from a tapstand in Ferenj-Wula village, Ethiopia

of communication than a written letter. Items posted on the Internet will only be seen by those people with internet access who regularly browse or search on the web. Within these audiences however, there is great potential for interaction, through email or on-line forums, so that greater participation and debate can be achieved.

GUIDELINES FOR WRITING A PRESS RELEASE[110]

A press release uses the five 'Ws' essential for all journalists:

- **W**hat
- **W**ho
- **W**here
- **W**hen
- **W**hy

Your press release should begin with the first four W's, as follows:

- What is happening?
- Who is doing it?
- Where is it happening?
- When is it happening?

This information should be in the first sentence or two, so that members of the press can see immediately what the release is about.

The component parts of a press release are as follows:

1 Introduction

Most editors do not have sufficient time to read even a short press release in full. The first few lines of a release, can be the key to whether or not it is included in the publication. The introduction has to capture the editor's attention immediately and tell him or her the most interesting fact, together with the first four Ws. Where possible your introduction should be a summary of the entire release in one or two sentences.

2 The remainder of the text

This should contain the remainder of the information you wish to convey, including the 'Why', if not already stated. Concentrate on presenting the facts (rather than opinion), in order of importance. Expand upon the information that you gave in the introduction.

3 The headline

Choose a simple headline for the press release (usually a short version of the first sentence will do). While the newspapers sub-editors will think up fancy headlines, do try to keep it as short and interesting as possible, as this will grab peoples attentions. The purpose of the headline is to help the news editor to spot the interest in the story.

4 The embargo

Putting an embargo on a press release means you can send news to the media in advance of when you want it to appear. For example, if a speech is going to be made during a meeting, you may send a copy of the speech to the newspaper in the form of a press release, but do not want it to be published before the speech is actually made. The embargo is usually written in capital letters at the top of the press release, as follows:

"NOT FOR USE UNTIL 8PM TUESDAY 20 JANUARY", or more simply: "EMBARGOED 8PM 20 JAN".

The embargo can also be used to try and control the timing of the release of your news so as to secure coverage in a particular media. For example, Sunday is generally considered a weak news day. Individuals or organisations often therefore embargo stories for Sunday so they stand a good chance of getting used on Monday, rather than on the more competitive weekdays when courts, councils and parliaments are in action making news.

You need to consider the time you will put on your embargo carefully. You need to know when the various papers go to press so that you will not miss the relevant deadline for inclusion at the time you would like. However, you cannot embargo an event: that is, you cannot announce in a press release that a meeting will take place at 8pm but then embargo the press release for midnight four hours later. The media has the right to use the news of an event (including for example the contents of an embargoed speech) from the moment it happens.

Embargoes are generally firmly respected, although it is important not to over-use or abuse the embargo system.

Style

Present your press release in a clear and digestible form (rather than trying to write an essay in English literature!). Keep sentences short. Use the active voice where possible: for example, instead of *"a new campaign to introduce hygiene education in schools was announced by Minister of Education, David Mutisa"*, write *"Minister of Education David Mutisa announced a new campaign to introduce hygiene education in schools"*. Use direct quotations as much as possible, as most news stories are based on people.

A press release should give a confident, easy to read impression. Care should be taken over the presentation, to make it more accessible and easy for a sub-editor to use:

- Use headed notepaper
- Use a typewriter (or computer) and type neatly
- Put a date on the press release
- If you use an embargo state your instructions in capital letters at the top of the release
- Always use double spacing: this allows the sub-editor to re-write and insert instructions to the printer
- Type on one side of the paper only
- Use standard size paper
- Never split a sentence or paragraph over two pages (separate pages of a press release can go to different printers for composition, so a split sentence or paragraph can cause endless trouble)
- Number the pages in a press release and give a catch line (key summary words) from page 2 onwards
- If the press release covers more than one page, put at the bottom of each page the word "more" or "m.f.", which are universally recognised terms
- At the end of the text of a press release, put "Ends" underneath and separate from the final sentence
- Always put the name and telephone number (work or home) of the person who issued the release. Journalists will not abuse home phone numbers, but so much of their work, especially on an urgent story, is outside normal office hours that being able to make contact at home is vital.

2.10 Assessing resources

As for any process of project planning, advocacy activities need a realistic budget. This is easier if advocacy is 'mainstreamed' as part of a project or broader programme of work, as the advocacy activities can be part of the project plan from the beginning and included in the original project budget, rather than trying to find funds for advocacy activities 'tacked on' to a project at a later stage. Working in alliances and coalitions may also enable funds to be shared between organisations, or provide the opportunity to submit joint funding proposals to possible donors.

As with any budgeting process, thought needs to be given in planning advocacy to what resources are required for each of the proposed activities, in terms of people, materials, skills and other costs. Some of the required skills may be available within the organisation (or alliance), while others may need to be bought in, at a cost. However, it should be remembered that even if skills are available internally, they cannot be used without an opportunity cost to other work. Adequate time should therefore be allocated to advocacy activities.

Many donors are currently interested in supporting capacity building of southern civil society groups for advocacy work, for example the UK Department for International Development (DFID) and DANIDA.

▶ **Section 3.1: Mainstreaming advocacy**

▶ **Section 2.6: Identifying allies**

EXAMPLE ADVOCACY BUDGET: COMMUNITY DELEGATION

Budget for a delegation from a community affected by a problem or issue, to meet with a local or central government official or politician:

For the meeting:

☐ Transportation for community members (depending on distance to be travelled)

☐ Accommodation (in case distance travelled means that members will need to stay the night before going home)

☐ Refreshments (where necessary, or this could be community contribution)

☐ Materials (any photocopying of materials to be taken to meeting)

☐ Allowance for community participants (who may miss X days of livelihood activities)

Pre-meeting:

☐ Training of community leaders who will lead the delegation (depends on the skill/knowledge of the leaders, and the complexity of topic)

could include:

■ Hire of training venue

■ Transportation for leaders to go to venue

■ Refreshments during training

■ Material for training

■ Allowance for leaders (who may miss X days for livelihood activities)

EXAMPLE ADVOCACY BUDGET: LOCAL ACTION RESEARCH

Budget for local action research on a particular issue (a pre-advocacy activity):

☐ Fees for researchers (or per diem for staff seconded as researchers, for X days and X number of researchers, depending on organisation practice)

☐ Travel/transportation for researchers

☐ Accommodation and refreshments (in case researchers need to stay in the community to undertake the research)

☐ Materials (eg, batteries for tape recorders, cassette tapes, etc.)

☐ Administration costs (eg, phone calls, photocopying, pre-visits to area to set up interviews, etc)

☐ Research meetings (eg, for planning, discussing findings, etc. Cost depends on how many people need to participate in these meetings)

☐ Production of report

Post-research costs:

☐ Publishing of report

☐ Public launch of report

☐ Media activity vis-à-vis report (could include meetings with journalists, for which costs of arranging the meeting, and holding the meeting could be included)

☐ Meetings with public officials or politicians to seek action on report (could include administrative costs of setting up the meeting)

Community-based participatory research, additional costs:

☐ Hire of venue for community research activities

☐ Refreshments for community activities

☐ Documentation materials (eg, flipcharts/pens, camera/film)

If the research is carried out in several communities across the country, additional costs of setting up the research interviews (or community research activities) in each of the communities need to be included. Travel and accommodation costs would also increase. Likewise, where this kind of research depends on the action of other organisations (not just the originator of the research), then co-ordination costs need to be included. This would usually mean more administrative expenses: phone calls and faxes, cost of email, additional co-ordination meetings, or larger and longer research meetings.

The same principle applies for conducting research across different countries, involving different organisations. Here costs of research meetings would increase due to participation of people from different countries.

EXAMPLE ADVOCACY BUDGET: OFFICIAL VISITS TO PROJECTS

Budget for public officials and politicians visiting project sites:

Pre-visit:

☐ Transportation and travel to project sites to arrange visit

☐ Cost of planning meetings with community organisation/leaders

☐ Production of information (where necessary) that can be distributed to visiting officials

☐ Administrative expenses (calls, faxes, meetings, etc to arrange with officials)

During visit:

☐ Transportation and travel of guests to project sites

☐ Hire of venue for meetings

☐ Refreshments for meetings, where necessary

☐ Documentation materials (camera film, video film, etc)

After visit:

☐ Follow up: report or meetings, etc.

2.11 Planning for monitoring and evaluation[111]

2.11.1 Introduction

Monitoring and evaluating the impact of advocacy work is often considered to be a difficult, if not impossible task, and many on their own admission fail to carry it out as they originally planned. Nevertheless, it is a vital part of advocacy work, if we are to learn from our mistakes, justify our expenditure, ensure accountability (both 'upwards' and 'downwards' – see Section 1.3) and share our experiences with others – as for any other type of project work. It is therefore an important part of the advocacy planning cycle (see Section 2.1). When reviews are scheduled within the life span of an advocacy activity, flexibility is built in and the work can be adjusted to take account of internal and external events, changes in the policy climate, or lessons learnt about the efficacy of particular techniques or approaches.

Some of the particular difficulties associated with measuring the impact of advocacy work – in contrast to that of practical project work – are listed below:

■ Advocacy is often a long-term activity: '*policy change is often incremental and slow and implementation lags significantly behind legislative change*'.[112] It is therefore often hard to say when a significant change has occurred

■ Advocacy work is often carried out through networks and coalitions, making it difficult to assess the exact contribution of each organisation or group

■ A variety of approaches is commonly used at the same time, some more confrontational, others based around private debate. This combination may be effective but renders the evaluation of the contribution of each approach difficult

■ Much advocacy work is unique with little repetition, so it is difficult to accumulate knowledge as in other areas

Monitoring and evaluation involves the documentation and analysis of various levels. First there are the *inputs* you have made (time, resources, staff). Second, there are the *outputs* of the activities which you have undertaken (meetings held, visits made, reports produced etc).

Third are the *outcomes*, the results of your outputs (press coverage of the issue; debates in parliament on the topic, changes in policy or practice etc). Finally, and most difficult to evaluate, is the ultimate *impact* of your work (for example, the effect of the policy change of the lives of poor communities). A great deal of NGO monitoring and evaluation – not just of advocacy work – tends to focus on inputs and outputs, with less attention given to the more challenging but ultimately more important outcomes and impact.

When assessing the impact of advocacy work, it is important to understand the various stages of policy change. CIIR (Catholic Institute for International Relations) have developed a model (described in Roche 1999) of three types of impact: 1) declaratory (rhetoric, policy or legislative change); 2) implementational (changed institutional practice or procedures) and 3) capacity building. This categorisation illustrates the recognition that there can be a significant difference between changes in policy and their implementation in practice, and also acknowledges the importance of grassroots capacity building as a significant part of advocacy objectives. Some advocacy work may only target the implementation stage from the outset, if the policy is already in place (see Section 2.2). Roche notes that in the outworkings of this, and other models of policy change, there is inevitably a trade-off between objectives of policy change and those of capacity building, a trade-off which must be taken into account when deciding where effort should be placed.[113]

In his book on impact assessment, Roche considers different ways of tackling the problem of how to attribute change to a given intervention. He goes on to note that '*for advocacy work the problem of attribution may be even more complicated, and the gap between action and ultimate impact even greater*'.[114] This is largely because of the nature of advocacy work, in which policy change can be brought about by a range of factors, not all of which can be distinguished from each other, and in which organisations often work in alliances so that the actions of one particular group cannot be clearly linked to a particular impact. Instead of trying to ascertain the ultimate impact, impact assessment in these cases tends to focus on outcomes, in other words on '*what has changed or is different as a result of an activity*'.[115]

2.11.2 Guidelines for monitoring and evaluating advocacy work

The following points are drawn from the literature available about monitoring and evaluating advocacy work:

■ For any project or piece of work, the process of monitoring and evaluation requires yardsticks to measure against; hence you need to have set clear objectives for your advocacy work at the outset. If your objectives are vague and unspecific, it is almost impossible to monitor or evaluate your progress

■ Define your indicators for 'success' (or proxy indicators) for all your objectives (including any capacity building objectives) during the planning phase and incorporate them into your advocacy plan. Indicators should be drawn up for all aspects of the work: inputs, outputs, outcomes and as much as possible, impact. Examples of indicators for organisation-wide advocacy objectives are given in the Box over page

■ Ongoing monitoring of basic levels of activity (ie inputs and outputs) should be carried out on a regular basis – this is important for accountability. Keep monitoring systems simple and straightforward, so that they will be adhered to. Remember to note any relevant changes in the external environment at the same time

■ Build in review points to your plan, so that you stop and assess how the work is going at regular intervals, to allow you to shift focus, re-plan and redirect resources where necessary, rather than waiting for an evaluation at the end of the work

■ Try to record outcomes and impact where possible, even though they are more difficult to tackle

■ If there is no 'hard' quantitative data available for measuring outcomes and impact, record whatever evidence is available as systematically as possible, as it can still be valid: '*presenting a reasoned argument for the likely or plausible impact, based on what has been achieved to date, is [often] all that can be done*'[116]
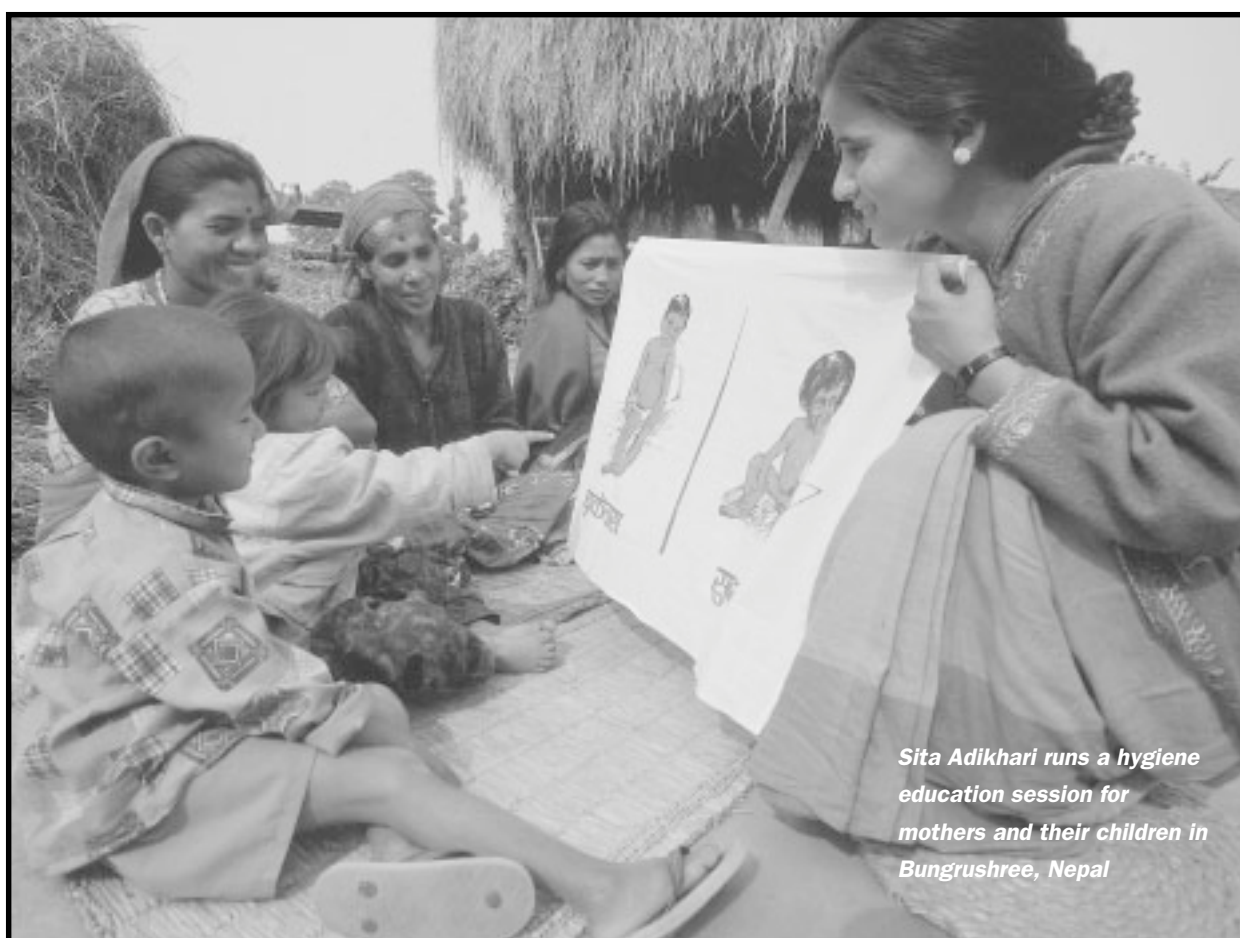
Sita Adikhari runs a hygiene education session for mothers and their children in Bungrushree, Nepal

ADVOCACY: WHAT'S IT ALL ABOUT

- From time to time, it is important to try to link your advocacy work to your organisation's broader aims and objectives, to make the connection between what you are doing and what your organisation ultimately hopes to achieve. For example, one of WaterAid's strategic aims is '*to seek to influence national policies and practices so that the poor gain access to safe, affordable, accessible and sustainable water supply, sanitation and hygiene promotion services.*'[117] It is important, therefore, that WaterAid's advocacy activities

are periodically examined in the light of this strategic aim, to try to assess to what extent they are contributing to increased access by the poor to sustainable water supply and sanitation services. Although this kind of assessment presents many challenges, as described above, it is an important aspect of monitoring and evaluation, in order to prevent advocacy work losing its sense of direction or absorbing resources without being able to justify or account for their use

INDICATORS FOR WATER SUPPLY AND SANITATION ADVOCACY: EXAMPLES FROM WATERAID

WaterAid's Advocacy Strategy outlines the organisation's key advocacy objectives for the next five years. Against each objective, a number of indicators have been set, as follows:

Objective 1: National Influence – exert direct influence on national policies

- In 12 of the 15 WaterAid programme countries, WaterAid, partners and communities actively contribute to developing and strengthening national water supply, sanitation services, hygiene promotion services and policies

- WaterAid, partners and communities assist in increasing the level of resources allocated to the Water Supply & Sanitation [WSS] sector within half of the "mature" country programmes

- In half of the programme countries, WaterAid has contributed to the development of independent sector advocacy networks.

Objective 2: Rooted Advocacy – enable communities to exert influence and to demand services

- Project partners in three countries have set up community-level federations or alliances working for water supply, sanitation and hygiene promotion services for the poor

- These federations are actively participating in national and district policy forums on water resource management and water supply and sanitation programmes

- Donors consult these federations in the development of their WSS programmes

- WaterAid has the capacity in the UK and undertakes public campaigns on water, sanitation and hygiene issues, and carries out these campaigns on a regular basis.

Objective 3: International Influence – exert influence on international policy actors and donors

- WaterAid will be actively consulted by policy actors and directly contribute to policies and programmes of core international actors.

- WaterAid will have assisted in increasing resources, both in terms of level of resources, and allocation to the WSS sector from key international donors

- WaterAid will be a major player in an international coalition of like-minded organisations in civil society, promoting universal access to basic water supply, sanitation, and hygiene promotion services and people-centred water resource management

- In WaterAid programme countries, companies in the water supply sector and major water users adopt

codes of conduct that protect water use for people and the environment.

Objective 4: Knowledge base – improve the knowledge base of the organisation and partners

- WaterAid will be recognised as a key information resource on policies and practice issues in the sector, including the following issues: financing the sector, private sector participation, institutional reforms, poverty impacts, right to water and scaling up of good approaches

- WaterAid will be a natural participant in information and academic networks.

Objective 5: Organisational Capacity – strengthen organisational capacity to undertake advocacy work

- Advocacy activities will be mainstreamed and integrated in the plans of all parts of WaterAid

- As part of the development of a learning culture, the Advocacy Team will contribute to learning on the broader development and sectoral issues within WaterAid.

- WaterAid will have the capacity to mount integrated campaigns, co-ordinated with key national and international partners where appropriate.[119]

One writer notes that if advocacy is – as the dictionary defines it – 'verbal support or argument for a cause', then those who undertake it have a relationship in two directions, with both the 'client' and the 'audience'. Any form of monitoring or evaluation needs to assess both these relationships. The following questions can provide useful feedback in the review and evaluation of advocacy initiatives. The first set of questions considers the impact of the work on the audience or targets:

1 Who was supposed to hear the message?

2 Who has heard the message?

3 How did they interpret the message?

4 How was it different from other messages?

5 What did they do in response?

6 Have they heard of the sender?

7 How do they differentiate the sender from others who might be sending similar messages?

The second set of questions considers the impact of an advocacy initiative on the 'client' on whose behalf the work was undertaken:

1 If they are not already working with the NGO, how are they contacted to ensure the NGO is acting appropriately on their behalf?

2 To what extent have NGOs, who are involved in development projects, explained their advocacy activities to the poor people they are working with?

3 Has there been any attempt to get them to rank advocacy work versus other activities they might see are more relevant?

4 What effort has been made to provide feedback about the results of advocacy work?

5 To what extent do beneficiaries feel more confident to advocate on their own behalf?

6 What effort has been made to seek their assessment of results and get their confirmation of assumed impact?[120]

■ In many cases the range of tools used in project monitoring and evaluation can also be used for the assessment of advocacy work. These include methods such as key informant and other interviews; surveys; group discussion; observation; case studies; and RRA/PRA tools such as time lines, ranking, venn diagrams, impact flow charts; and trend analysis/time trends[118]

■ As for any other monitoring and evaluation process, using a range of methods enables you to cross-check the information you have been given and helps validate your conclusions

■ Your advocacy work, as any project work, should be subject periodically to external evaluation, not only internal reviews, to enable an outsider perspective on the work and to learn from others' viewpoints and experience

■ Reviews and evaluations provide the opportunity to involve the stakeholder group (perhaps in a more significant way than for simple monitoring), which can contribute to capacity building at the same time.

TOOL FOR SELF-ASSESSMENT

Sharma's Advocacy Training Guide includes the following self-assessment questionnaire, designed to assist those involved in advocacy to review their own progress every 6-12 months. The questionnaire could be completed as a group, or as individuals who then share their results with the rest of the team.

1 Advocacy objective

■ Is your advocacy objective moving smoothly through the process or have you encountered some obstacles? What are the obstacles and how can they be overcome?

■ What else can you do to move your objective forward? Would building new alliances or increasing your media outreach help move your objective through the decision-making process?

■ If your objective does not seem achievable, should you alter it? What would be achievable? Could you achieve part of your objectives by negotiating or compromising?

■ How much does the policy/ programme change reflect your objective? Did you win your objective entirely, partly or not at all?

■ Can/should you try to achieve the rest of your objective during the next decision-making cycle? Or should you move on to an entirely new advocacy objective? What are the pros and cons for each decision?

■ Did the policy/programme change make a difference to the problem you were addressing? If you achieved your objective in whole or in part, has it had the impact you intended?

2 Message delivery/ communications

■ Did your message(s) reach the key audiences? If not, how can you better reach those audiences?

■ Did your audiences respond positively to your message(s)? Which messages worked? Why? Which did not work and why? How can you alter the messages which were not effective?

■ Which formats for delivery worked well? Which were not effective and why? How can these formats be changed or improved?

■ Did you receive any media or press coverage? Was it helpful to your effort? How could your media relations be improved?

3 Use of research and data

■ How did using data and research enhance your effort?

■ Were data presented clearly and persuasively? How could your presentation be improved?

■ Did your advocacy effort raise new research questions? Is more data needed to support your advocacy objective? If so, is the data available elsewhere or do you need to conduct the research?

4 Decision making process

■ Is the decision-making process more open because of your efforts? If so, how?

■ Will it be easier to reach and persuade the decision-makers next time? Why, or why not?

■ How many more people/ organisations are involved in the decision-making process than before you began? How has this helped or hindered your efforts?

■ How could you improve the way you move the decision-making process forward?

5 Coalition building

■ How was your coalition successful in drawing attention to the issue and building support for the advocacy objective?

■ Was information distributed to coalition members in a timely fashion? How could information dissemination be improved?

■ Are there any unresolved conflicts in the coalition? How can these be addressed and resolved?

■ Is there a high level of co-operation and information exchange among coalition members? How could internal coalition relations be enhanced?

■ Did the coalition gain or lose any members? How can you enlist new members and/or prevent members from leaving?

■ Does the coalition provide opportunities for leadership development among members?

■ How was your network helpful to your advocacy? How can you expand your network?

6 Overall management/ organisational issues

■ Is your advocacy effort financially viable? How could you raise additional resources?

■ Is the accounting system adequate? Can you provide to funders an accurate accounting of how money was spent?

■ How could your financial resources have been used more efficiently?

■ Were all events produced successfully and did meetings run smoothly? Which were not and why not? How could logistics be improved?

■ Are you or your organisation overwhelmed or discouraged? How could you get more assistance? Should you narrow your goal or extend your time frame to make your effort more manageable?[121]

2.12 Drawing up an action plan

When you have discussed and come to a conclusion for each of the steps of the advocacy planning cycle described in this Section, you will be ready to draw up your advocacy action plan. An action plan may take various forms, but should detail exactly what you plan to do and by when. It could look like this:

Table 7 Example layout for an advocacy action plan						
Objectives	**Activities**	**Target**	**Indicators**	**Timing**	**People responsible**	**Review planned**
Objective 1:	1.a. …	1.a	1.a.	1.a.	1.a.	xx/yy/zz
	1.b. …	1.b.	1.b.	1.b.	1.b.	
	1.c. …	1.c.	1.c.	1.c.	1.c.	
Objective 2:	2.a …	2.a	2.a	2.a	2.a	
	2.b …	2.b	2.b	2.b	2.b	aa/bb/cc

Remember that advocacy work can be slow and time-consuming, and so needs a long-term commitment if you are to achieve real change. Your Action Plan should reflect this.

Here's another advocacy planning tool from Oxfam:

Research-based approach to issue campaigns

Jim Coe, Oxfam Campaigns Department, 23 January 1998

Source: Oxfam
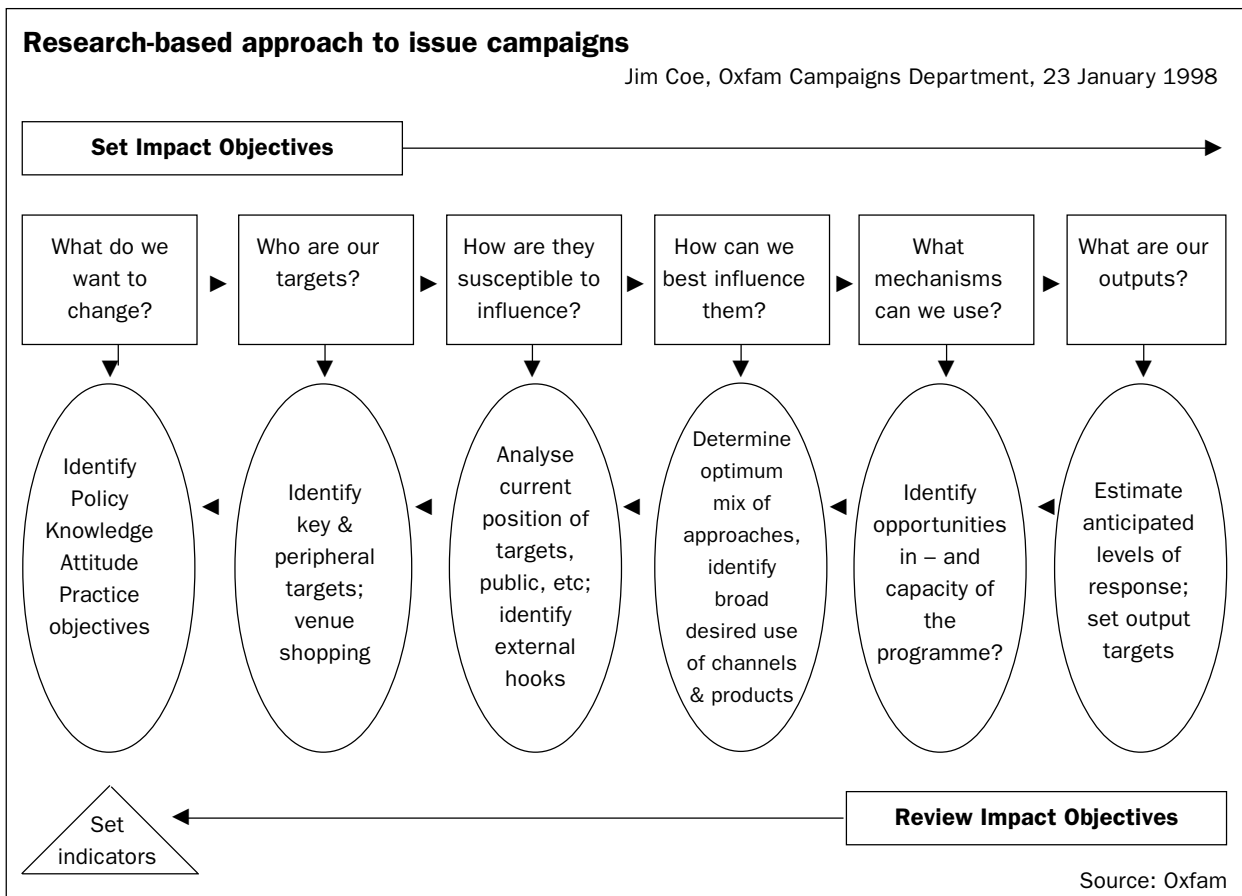
Action for Securing Health for All (ASHA) works in the slums in Delhi, India, where most people do not have access to water, sanitation, electricity or adequate housing. ASHA's aim is to work with the people in these communities to give them access to these basic services and therefore improve the quality of their lives. ASHA also aim to educate and train women so that they will become mobilised to improve their conditions through their own acting and lobbying. Their advocacy action plan – given in the table below – therefore focuses on improving basic services for the community while at the same time increasing the community's, in particular women's, capacity to advocate for these improvements themselves in the future. The advocacy 'targets' of their second two objectives are thus the community women themselves.

Objectives[123]	Activities	Target	Indicators	Timing	People responsible
1. Improve the conditions in housing, water and sanitation	Lobbying through direct contact	1.a National and local government (politicians and officials) 1.b Neighbouring residents 1.c Other local communities eg factories 1.d Slum landlords	1a. More money from local/ national government 1.b Better housing 1.c Better health care provision	Linked to progress in education and training	ASHA initially, then women's groups
2. Community organisation to work for their future	Training and education – participation in defining problem and suggesting solution	Women	Women participate in defining problem and working for solutions	As soon as possible	ASHA
3. Empower women in the slums to gain confidence and experience to tackle problems themselves	Training and education to build experience and confidence in lobbying	Women	3.a Women involved in lobbying 3.b Women build good relationships with policy-makers	As soon as possible	ASHA

In addition to your Action Plan, you could also draw up a Timetable in which you plot the agreed activities against a detailed time-frame, to ensure that your activities fit together in a sensible schedule and to enable you to anticipate busy times and bottlenecks. It is important to schedule in your monitoring, review and evaluation activities into this Timetable. An Advocacy Planning Timetable could look like this over page:

Table 8	Example layout of advocacy planning timetable				
Year	Month	Date	Activity	Activity number[124]	People responsible
2001	January	15	Finalise action plan	-	Team
		31	Meeting with Minister for Water	1a.	PO
	February	5	Press briefing	2.b.	
			Etc		
			Etc		

As you carry out your activities, there will be internal and external changes that affect the outcome of your work. Periodic reviews and reflection built into your planning process help you to stop and assess whether you need to adjust your plans accordingly. If you alter your activities as a result, it is wise to re-write your Action Plan and your Timetable, to help you to plan thoroughly, and to ensure that all members of your team (or alliance) are working towards the same ends and know what is expected of them.

REALISTIC PLANNING CHECKLIST

The SCF advocacy handbook suggests that when you have completed your Action Plan, you carry out a 'reality check', to assess whether your proposed plan is realistic and appropriate. It suggests you consider the following questions, which form a check list of some of the advocacy planning cycle stages described in the preceding sections:

■ *'Are you ready to implement your plan? Are you clear about your objectives? Do you have your evidence and solutions in place? Do you know your audience? Do you have good contacts among your influentials? Do you know what activities you are going to carry out? Have you decided what advocacy style or approach you are going to use?*

■ *What are you expecting from your partners/allies? Are you sure of their motives and goals? Do they enhance your credibility? What will happen if they drop out of the picture?*

■ *What resources – financial, technical, human – are available? What are the implications for your plan? Do you need to build in some training activities to your plan?*

■ *How will you co-ordinate and monitor the different approaches you are using? Do you have a plan for integrating them and avoiding bottlenecks?*

■ *Are there any risks? How will your activities affect the reputation of your organisation? How might it affect your funding to do other activities? Might you lose valuable staff? Could other current partners no longer wish to work with you? What can you do to mitigate any negative outcomes?*

■ *What would you do if...? What are your alternatives, contingency plans or fall-back positions? External conditions may change and you may have to rethink your plans – build in flexibility so you are prepared for this.'* [125]

Finally, Roche suggests some critical factors for success to bear in mind when planning advocacy work:

■ 'Solid research, analysis and clear achievable propositions for policy change

■ Credibility built on being able to link practical experience to broader policy issues; making micro-macro links

■ The ability to build upon past investments in local contacts, partner organisations, networks and alliances (many of which may have been built up over several years)

■ The readiness and ability to seize sometimes unexpected opportunities to push for change

■ The involvement of credible, skilled and experienced lobbyists, who have good intelligence about, and contacts within, the lobbying targets

■ Excellent media work founded on good contacts with journalists.' [126]

Section 3 How Does It Fit?

This Section considers how advocacy work can fit into current programme and project work; how to link advocacy activities with those of others working at different levels; and finally, how to increase capacity (both within the organisation as well as partners and allies) to plan and carry out advocacy activities.

3.1 Mainstreaming advocacy

In the definitions given in Section 1.2, advocacy work was presented as complementary to, not a substitute for, project and programme work. It has the potential to 'add value' to project work by spreading the impact wider than the community and region in which a project operates; indeed, for some NGOs the main rationale for engaging in advocacy is a desire to increase their impact and 'scale up' their work. Therefore advocacy work should not be considered as a separate 'project' in itself, but as an integral part of project and programme work at various levels. In this sense it should be considered as 'mainstream'.

However, there is some debate about how this mainstreaming should take place – in other words what structures can be used to incorporate advocacy into the ways NGOs operate. Different NGOs tackle this issue in different ways:

- Some have dedicated advocacy staff members whose job it is to carry out their advocacy work. The key advantage with this approach is that it ensures advocacy work does take place. The disadvantage is that other staff members or partners may not bother to become involved in advocacy, not considering it their responsibility
- Other NGOs include responsibility for advocacy in all job descriptions of field staff. This means that in theory all staff members are involved in advocacy. The drawback of this approach is that without dedicated advocacy specialists who have the time and skills to devote to advocacy work, it may be relegated to a low priority activity or not carried out at all
- Some have a combination of the two, with the dedicated advocacy staff based at national or international headquarters, and/or in the field. An increasing number of international NGOs are choosing this option.
- A fourth option, for international NGOs, is to create new relationships and partnerships based on specific advocacy projects in the countries where they are working. For example, when existing partners are not focused on advocacy work, but are involved in service provision, the NGO may look to other partners with advocacy activities to forge relationships with in order to carry out their advocacy work.

If advocacy is to become truly 'mainstreamed' and an integral part of project work, it is clear that a commitment is needed from all staff to take responsibility for a certain amount of advocacy work. At the same time, dedicated staff – whether in the field or at headquarters – can provide vital impetus to advocacy work, in terms of planning, ideas, skills, contacts and training.

Whatever structures are in place to support the mainstreaming of advocacy work, this process of integration will not take place unless advocacy is incorporated into projects and programmes from the very beginning, ie at the planning stage. During project design, advocacy objectives can be included alongside field work objectives; advocacy activities can be added to project implementation activities; information gathering for advocacy can be carried out alongside baseline data collection; and resources (time, funds etc) can be allocated for advocacy as for other activities within the project. This can be carried out at project, programme and organisational level.

Within a project or programme plan, it is still necessary to draw up an advocacy action plan (as described above in Section 2), in the same way that any project component requires detailed planning. In the very early stages of project or programme planning it may not be possible to complete all the detail of the advocacy action plan, but the space can be allocated for this to take place and a commitment of time and resources made to carrying it out.
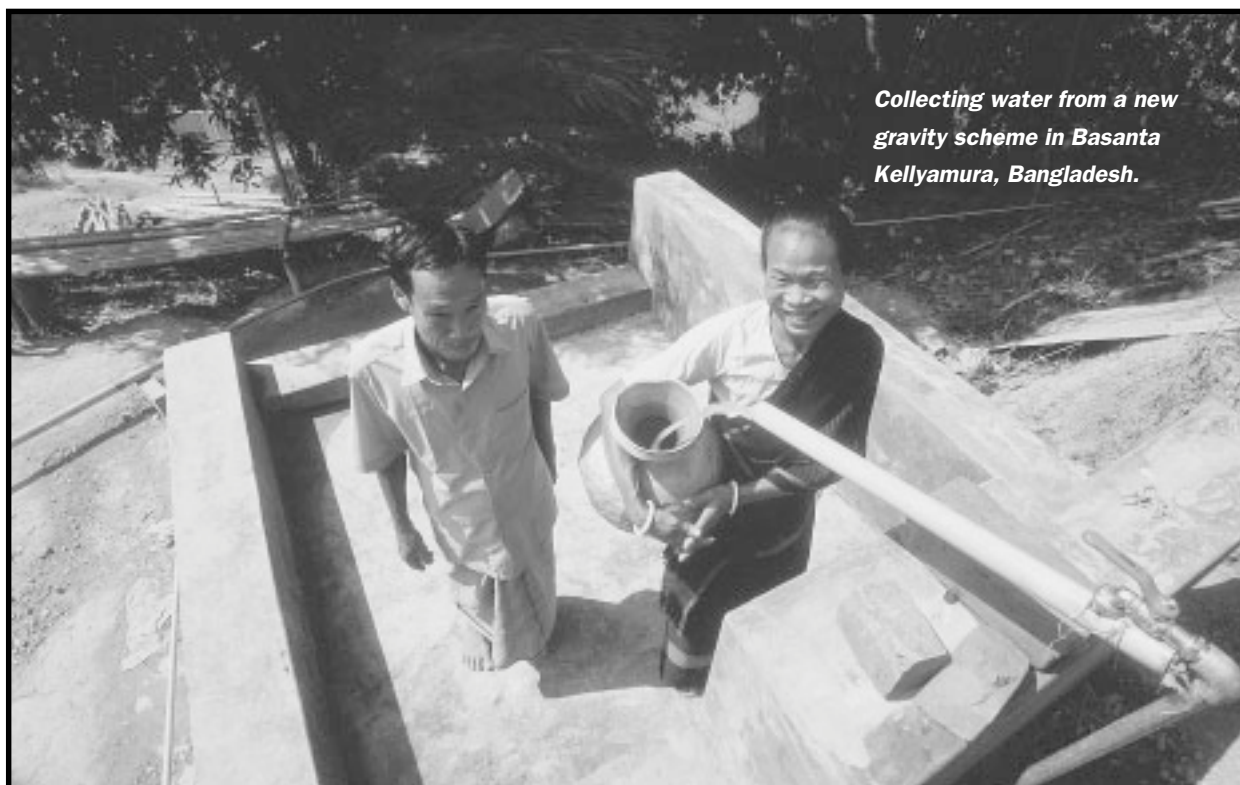
Collecting water from a new gravity scheme in Basanta Kellyamura, Bangladesh.

If a project or programme is already underway, it may appear more difficult to incorporate advocacy work. However, it is still possible to build in advocacy activities at key stages of a project or programme, for example, during annual planning, when time and funds are allocated to various activities. Indeed drawing up an advocacy plan may be facilitated if a project or programme is already underway, as the issues may be clearer and objectives easier to define, based on the experience of the project to date.

However, as mentioned in Section 1.5, at times it may be necessary to create specific advocacy projects, particularly when field programmes are focused on service provision. For example, if an advocacy issue has arisen from field investigations but is not addressed by current fieldwork (for example private sector participation), a policy-focused advocacy project may need to be created to tackle this issue.

3.2 Linking local, national and international level advocacy

Linking local, national and international level advocacy depends on good communication and networks between these levels. For international NGOs, this communication should be facilitated by their structure. However, national and local NGOs may also have access to national level networks and the larger ones may be connected to international networks, through formal or informal links. Alliances with like-minded organisations can assist NGOs to make these connections at the different levels.

If advocacy is built into project plans at the local level, as discussed in the previous section, then advocacy issues will emerge which have national relevance or national roots, ie which cannot be tackled solely at the local level. Indeed, the root causes of many advocacy issues lie far from the communities in which they have an effect, often being the result of national or even international decision-making. These issues can form the basis of national level advocacy carried out by a national network or international partners. This process of 'feeding up' issues from the local level helps to

ensure that those at the national level are responding to the priorities of grassroots communities. At the same time, there may be advocacy issues at the national level that are currently of concern and which can also form part of national advocacy activities – in other words, national advocacy may not solely be the sum of advocacy concerns raised at local level. The latter should form the main basis of a national level advocacy plan, in order to ensure that grassroots communities' voices are heard.

▶ **Section 1.3: Rooted advocacy and the question of legitimacy**

This process of 'feeding up' issues can be replicated between the national and international levels, as national organisations contribute their priority advocacy concerns to their partners or networks who are working at the international level. Again, at the same time, there may be topical

international issues which those working at that level feel it is important to respond to, which may be added to the concerns raised by national/ country programmes.

However, this 'feeding up' should not be a one-way process. Sometimes those working at international level may encourage national programmes or networks to become involved in a topical advocacy issue. Similarly, national advocacy issues may feed into local level projects and programmes. Issues may therefore pass from local to national to international or vice versa. They may also be shared 'sideways', between national level programmes and networks, including advocacy workers in Northern donor countries. As mentioned above in Section 1.5, Northern and Southern NGOs each have a particular audience that they are well placed to access. Links and networks between the different levels can maximise each group's comparative advantage to gain the most impact.

LINKING NATIONAL AND INTERNATIONAL LEVELS: WATERAID'S POSITION

WaterAid's Advocacy Strategy sums up the interconnectedness of the various levels at which advocacy work can take place:

'The root causes of the lack of enjoyment of the right to water and sanitation lie both in the unequal structures within the societies where WaterAid works, as well as in the structures of relationships between these societies and the powerful countries of the West and the global institutions they control. The UK government itself plays a role in shaping the policy environment in the water and sanitation sector through its own aid package, co-operation with other bilaterals and multilaterals, the directions of its diplomatic activity, its own trade and investment rules and most importantly, the role it plays in the governance of global institutions. Global institutions such as the World Bank, International Monetary Fund, sector-based ones such as the Global Water Partnership, and the Water and Sanitation Program have great ability to set the terms of policy debates through using and producing knowledge (information and

analysis) that promote their neo-liberal orthodoxies, as well as the financial muscle to support implementation of their favoured policies. As an international NGO working with the poorer sections of some of the poorest countries in the world, WaterAid and its partners need to present an alternative viewpoint and alternative voice – the viewpoint and voice of the poor and powerless – to those that are dominant in the sector today.

Therefore, in focusing on the root causes, WaterAid's advocacy work needs to be carried out not just in the countries where WaterAid is directly helping to provide access to water and sanitation, but also in the UK in relation to the UK government's policies. At the same time, advocacy work is carried out in relation to the global institutions through directly addressing them and by working through (and with) the governments in the countries where WaterAid works (UK and overseas).

What this means is that WaterAid needs to create better synergies between advocacy work in-country, our UK-focused, and our international advocacy work. In each of these 'advocacy domains' (in-country, UK, international), WaterAid faces different audiences, WaterAid works with different allies (in the UK, for example, potential allies include grassroot supporters and donors; internationally, allies could include organisations not working directly in water and sanitation as evidenced at the Second World Water Forum, and governments) and have different targets. WaterAid's advocacy messages, along with some advocacy objectives, may also be different. But more and more they need to be co-ordinated or orchestrated to achieve common objectives and increase overall impact globally and nationally.'[127]

This process of co-ordination through sharing advocacy issues and priorities between the local, national and international levels is not only important for increasing the legitimacy and relevance of advocacy work at all levels, but also for providing much-needed support. Advocacy workers at the international level rely on detailed information from the grassroots to support their policy work, as do many national level workers. At the same time, those at national or international level can provide training, analysis, and information from elsewhere, or networking contacts to support advocacy work at the local level. Groups from all levels may form alliances that can increase the impact of their work.

Other forms of collaboration include: joint research on issues of common interest to both Northern and Southern audiences (for example on private sector participation); co-ordinated action on common objectives (e.g. working with governments in both North and South to get freshwater on the agenda of the Earth Summit 2002); joint preparations for international policy conferences; and joint action on issues that first break in the South (eg Arsenic in Bangladeshi wells) which are then picked up by Northern policy audiences such as the media and politicians.

This co-ordination, based on a symbiotic, multi-directional relationship, is vital for advocacy work to be truly effective, as the root causes of the problems which advocacy wishes to tackle are themselves complex and interconnected at all these levels.

3.3 Building capacity

Capacity building should be a significant component of any advocacy work (see Section 1.1 and Section 2.4). Given the overall goals of most NGOs involved in advocacy, it is vital that grassroots communities are involved *'not just as recipients of information but as actors in their own right'*.[128] Advocacy which aims to increase the capacity of grassroots communities is sometimes called 'rooted advocacy', 'participative advocacy', or 'stakeholder advocacy', and can be defined as *'facilitating a process by which people, through articulating their own needs and desires, gain the confidence and ability to influence decisions which will affect their own future'*.[129] NGOs who work with grassroots communities and are involved in advocacy work should therefore be openly committed to building the advocacy capacity of those they represent.

The question then arises: how do we build capacity? Definitions of capacity building often focus on training opportunities, but this is only one aspect. In the advocacy arena, capacity building could be said to have three components:

- Increasing **skills**: for lobbying, campaigning, planning advocacy work etc
- Increasing **knowledge** levels: raising knowledge, awareness and analysis of wider policy issues and the root causes of poverty and inequality
- Improving **structures**: for example mechanisms for co-ordination, networking and so on.

WATERAID AND THE CHALLENGES OF CAPACITY BUILDING

'As an international NGO with an excellent track record in the sector, WaterAid is usually invited to occupy a seat at the policy-making table in most of the countries in Africa and Asia where it works. WaterAid is conscious of the fact that this privileged position is often at the cost of local NGOs/CBOs not being considered by their own governments as key policy stakeholders in the water and sanitation sector. WaterAid must ensure that local NGOs and local civil society groups increasingly gain the space and opportunity to play their role in policy making and policy influencing. WaterAid has a role to play in ensuring that local NGOs and CBOs are able to be effective policy actors in their own countries, and it stands ready to vacate the seats it occupies to make way and to create space in favour of able and representative local NGOs/CBOs.'[130]

ADVOCACY: WHAT'S IT ALL ABOUT

IDEAS FOR INTERNAL CAPACITY BUILDING

WaterAid's 5th Advocacy Objective is to: *strengthen organisational capacity to undertake advocacy work*. The Advocacy Strategy describes this in the following way:

'To be effective in its advocacy work, WaterAid will need to strengthen organisational capacity to carry out advocacy. This will mean committing increases in resources for advocacy work, developing mechanisms for organisational integration and co-ordination, and developing a learning culture. New skills will need to be developed, through pilot projects initially, and new guidelines will need to be drafted for advocacy planning. To this end, WaterAid will:

■ Undertake specific activities and commit specific resources to build the capacity of staff and partners for advocacy work, including training, mentoring, cross-regional issue seminars, publication of sourcebooks, guidelines and other training and information materials

■ Improve understanding of advocacy and advocacy work among staff and partners

■ 'Professionalise' our advocacy work by strengthening and building advocacy units in the countries where WaterAid works, staffed with professionals with relevant skills

■ Support our key partners in developing their organisational capacity to undertake advocacy work

■ Provide opportunities for staff and partners to be exposed to advocacy-related activities (eg, lobbying, campaigning, attendance at policy conferences, etc)

■ Develop closer co-ordination and mechanisms for co-ordination between departments for purposes of undertaking co-ordinated campaigns in the UK and internationally.

Outcome indicators

In the next five years, WaterAid will have achieved the following:

■ Advocacy activities will be mainstreamed and integrated in the plans of all parts of WaterAid

■ As part of the development of a learning culture, the Advocacy Team will contribute to learning on the broader development and sectoral issues within WaterAid

■ WaterAid will have the capacity to mount integrated campaigns, co-ordinated with key national and international partners where appropriate.[131]

Capacity building can be built into most stages of the advocacy planning cycle. The following questions can act as a checklist to ensure that you are doing as much as possible in this area:

■ Whose priorities are we working on and how were they determined?

■ Are the communities we are representing (and/or our partners) involved in planning our advocacy work? If not, how can we involve them?

■ Are they involved in the implementation of our advocacy work? How can we involve them more?

■ Have we shared all our information and analysis with them as far as possible?

■ Can we increase their research capacity?

■ How can we increase their exposure to the political processes with which we are engaged?

■ Are there any training needs that we can meet or help them meet?

■ What contacts can we put them in touch with? How can we increase their networks?

There is often also a need for internal capacity building, particularly for an activity such as advocacy which some colleagues may feel less confident about undertaking. If your organisation is lacking in key skills or knowledge areas, it will be unable to carry out your advocacy action plans, however well designed they may be. Therefore, training needs and other capacity requirements should be identified wherever possible during the planning stages. Support and assistance may be gained from other organisations and networks, as listed below in Section 5.3. Forming an alliance with other organisations also can provide missing skills and an opportunity to learn from working alongside others.

▶ Section 2.6: Identifying allies

▶ Section 5.3: Useful organisations, networks and contacts

Section 4 Case studies

This Section contains detailed case studies of WaterAid's advocacy work in five different countries. The first two case studies, from Uganda and Zambia, describe the involvement of WaterAid staff in national water strategy formulation, through input to a government process. The third case study is taken from Ghana, and describes the initiation of the Mole Conference series. The fourth, from India, involves an advocacy initiative to reduce the level of government subsidies for sanitation. The final case study, from Zimbabwe, describes the creation of an organisation which developed its own advocacy activities.

The case studies are presented in a standard format, in order to put them in the context of the advocacy planning steps outlined in Section 2 as follows

- Brief overview of water policy processes in the country
- Key issues and advocacy objectives
- Targets
- Allies
- Approaches, activities and tools
- Impact/lessons learned.

WaterAid's experience of advocacy in the past has been based largely on 'good practice advocacy', demonstrating ideas and approaches in the field, and on reacting to national policy formulation opportunities (such as the ones outlined below in Uganda and Zambia), rather than on proactive advocacy activities planned as part of a programme or project from its initiation. The case studies below reflect this experience, and therefore do not contain a wide range of the advocacy tools and approaches described in Section 2, such as public awareness campaigning or targeted lobbying on an issue, nor examples of 'outsider strategies'. In some cases the advocacy objectives of these case studies have been distilled in retrospect, rather than being determined before the activity took place. However, the case studies are examples of what WaterAid has been able to achieve in its advocacy work in the past (largely as a result of its experience and good reputation in project work) and how these activities fit into the national policy processes in the countries of operation. It is therefore hoped that they will be a useful illustration of what is possible, as well as vehicles for learning lessons and designing more proactive advocacy work in the future.

4.1 Contributing to the National Rural Water Strategy: Uganda[132]

Making water policy in Uganda

Three Ministries within the Government of Uganda have responsibilities within the water sector, the Ministry of Water, Land and Environment; the Ministry of Health; and the Ministry of Gender and Community Development.

Policies and guidelines are provided by the Ministry of Water, Land and Environment, through the Directorate of Water Development (see Figure 3). The Ministry of Health is responsible for policy and guidelines for sanitation and water quality, while the Ministry of Gender and Community Development does so for community mobilization and the gender aspects of proposed policy.[133] The Ministry of Natural Resources has responsibility for the Nile Basin Initiative.[134] Under the Water Statute the private sector (which includes NGOs/ CBOs) is now responsible for the provision of potable water, to be carried out in accordance with the district WES Plan. All actors in the district, in theory, can participate in the development of this plan. The lack of coordination and integration of these ministries is commonly cited as a serious gap within the water and sanitation sector.

In addition to the national bodies described above, there are a number of international institutions that play a role in water policy making in Uganda. The most significant of these is the World Bank, which makes a major contribution to the direction of water policy, in particular in promoting the privatisation of water services. The World Bank is also advocating a sector-wide approach to water development in Uganda, whereby all donor funds would be channeled through the national budget, rather than through individual project support. The World Bank's chief point of contact is with the Ministry of Finance, rather than the sectoral ministries and departments.

Figure 3 Decision-making structures for the water sector in Uganda

Organisational Structure for Water Resources Management

■ National policy-making structures ■ National – local structures for implementation of policy
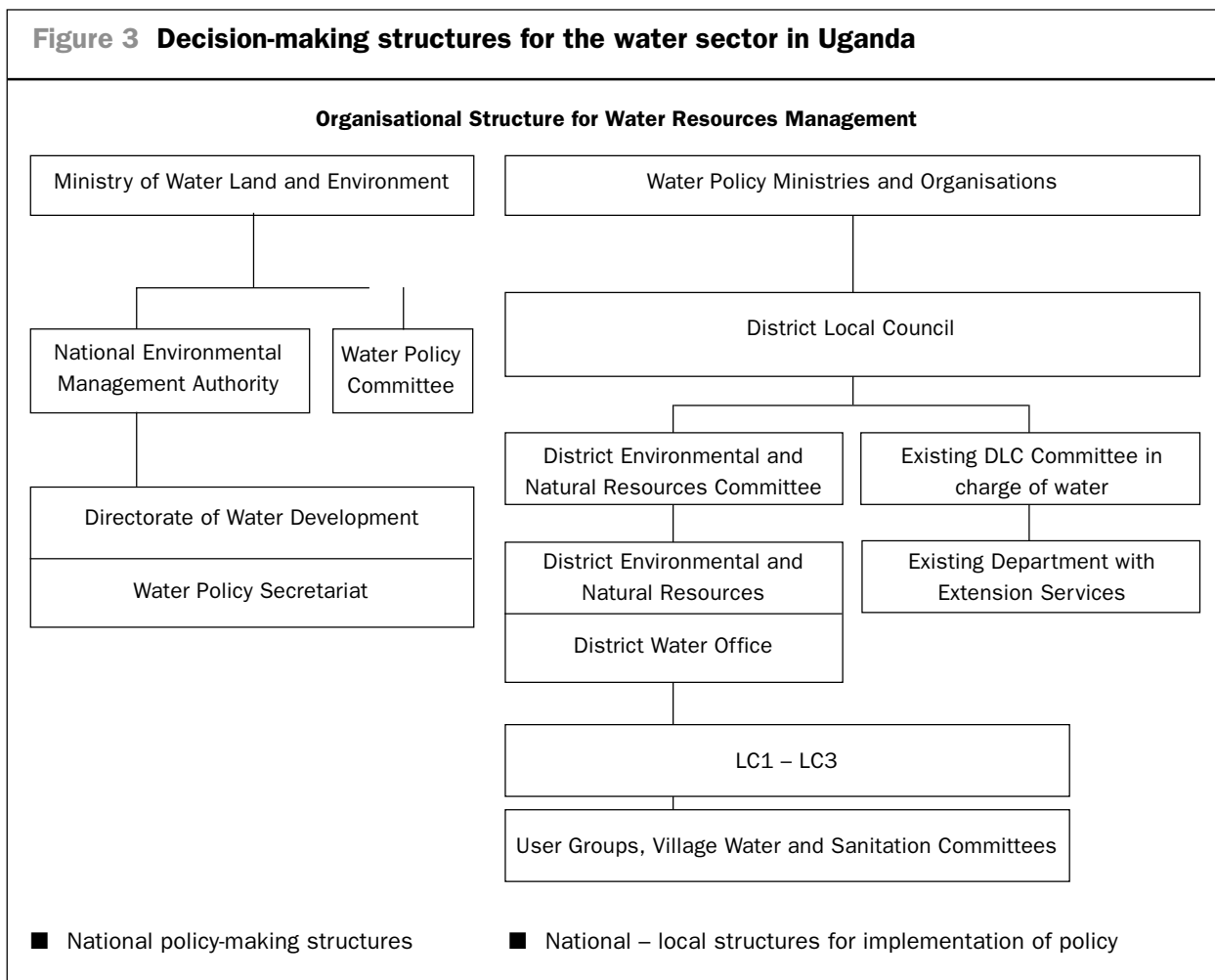
Danida is also a key player in water policy development in Uganda as it is a major funder of water development activities. However, its approach is more consultative than the World Bank and its institutional relationships tend to focus more directly on the Directorate of Water Development. A Danida Technical Advisor has been placed within the DWD to provide support and is managed directly by that department.

Following the establishment of its local office and Country Director, DFID has submitted a national water programme to DWD, which it plans to implement in the near future.

This organisational structure is governed by several policy directives. In 1994-1995, the Water Action Plan was drawn up. This led to the enactment in 1995 of the National Water Statute which defines the rights in water and water administration vested in government, the Water Policy Committee and water resources planning tools (the Water Action Plan). This Statute revised the National Water and Sewerage Corporations decree of 1972 and brought it in line with the Water Statute. The National Water Policy document published in 1999 promotes a new integrated approach to water management setting the stage for water resources management.

Key decision-making bodies within the water sector include:

■ The Water Policy Committee whose functions include the co-ordination of the implementation and amendment of the Water Action Plan, advising the Minister (of Natural Resources), reviewing of laws relating to water, monitoring issues relating to policy, use, control, management and administration of water in Uganda

■ The Inter-Ministerial Steering Committee, primarily composed of Permanent Secretaries in Line Ministries, is a strategy and policy making body which is supposed to advise the Minister (of Natural Resources) on water and environmental sanitation issues. WaterAid has been a member of this Committee for the last three years, with a mandate to represent sector NGOs.

The Poverty Eradication Action Plan has recently been finalised and water and sanitation were identified as high priority areas. The completed plan will release a huge amount of debt-relief funds

into the water sector under the Highly Indebted Poor Countries Initiative (HIPC).[135] It is anticipated that the water sector budget will increase up to four or five times, with funds channelled largely through district administrations to the private sector for implementation. There is concern on the part of WaterAid and other NGOs that the district administrations do not have the capacity to manage and monitor this process and that at best the service provided will focus only on hardware provision without community involvement and mobilisation.

Contributing to the national rural water strategy

In the past year the DWD has been involved in reviewing the rural and urban water sectors in order to develop a national water strategy. This strategy outlines how the National Water Policy document produced in 1999 should be implemented. A consultant was contracted by the government of Uganda to carry out the review and draw up the strategy. WaterAid was invited to participate in the review process for the rural water sector. This involvement took the form of comments on the initial TOR (Terms of Reference) for the consultant and membership of the Technical Committee that reviewed the various drafts of the strategy prepared by the consultant. WaterAid was also requested to obtain feedback from other interested NGOs and to represent their views on the Technical Committee.

Key issues and advocacy objectives

Through their involvement in this drafting process, WaterAid identified three key issues that became the focus of their advocacy objectives, as follows:

■ *Recognition of the role and contribution of NGOs in the rural water sector:* the first draft of the strategy drawn up by the consultant listed the key actors in the sector as local and national government and private companies, but made no mention of NGOs. NGOs, through their work in local communities, are in a key position to mobilise and work with people. In some rural areas of Uganda where the private sector is non-existent, NGOs are the only actors, apart from local government, in water services provision. Therefore their role needs to be recognised in the strategy and their potential taken into account in planning

- **Involvement of NGOs working in the water sector in the strategy formulation process:** following on from the above issue, WaterAid was keen to facilitate the involvement of other NGOs in the process of determining the strategy
- **How to make 'community management' work in practice:** the National Water Policy and the draft strategy are committed to the principle of 'community management' for water services provision, but give virtually no information as to how it should happen. For the objective of community management to be worked out in practice, detailed plans must be drawn up for its implementation, otherwise it will remain a commitment in name only.

WaterAid's advocacy objectives centred on the incorporation of these key issues into the final version of the National Water Strategy, and the capacity building objective of involving other NGOs in the process and ensuring their views were heard.

Targets

As the body responsible for the drafting of the water strategy, The Department of Water Development (DWD), was the key target for this advocacy initiative. Other actors, such as other government departments who took part in the process (Ministry of Local Government, Ministry of Gender and Community Development, Ministry of Finance, and Ministry of Health), were also targets, as were, to a lesser extent, the main external donors (the World Bank – who had in fact called for the review and strategy formulation in the first place; Danida; DFID and SIDA).

Allies

WaterAid has played a key role in the establishment of a Co-ordination Forum for NGOs and CBOs working in the water and sanitation sector in Uganda (see Box case study on partnerships in section 2.8 for more details). Through this Forum, WaterAid has access to all the NGOs involved in the Sector. In the context of the rural water strategy formulation, this became a two-way process: WaterAid was able to consult fellow NGOs and ensure their views were heard on the Technical Committee; at the same time the recognition that WaterAid was speaking on behalf of many other NGOs in the sector (their 'allies') gave added weight to their contributions to the Committee.[136]

Approaches, activities and tools

The general approach taken by WaterAid in this process was an 'insider' strategy of working on policy issues together with government officials through the Technical Committee. This was made possible by the history of close communication between WaterAid and DWD that has been built up over many years. Regular communication has been maintained, in particular with the Director of DWD, who receives copies of WaterAid reports and other relevant documents, irrespective of any advocacy initiatives. This good relationship, coupled with WaterAid's reputation in the country, led to the invitation to join the Technical Committee and the understanding that WaterAid would represent sector NGOs in the discussions.

The key advocacy activity was attendance on the Technical Committee. When requested to obtain the views of other NGOs, WaterAid organised a half-day workshop for NGOs, government representatives and the consultant, to discuss the draft strategy. Finally, two national workshops were organised to ratify the strategy, which WaterAid attended.

The tools used were negotiation through meetings of the Technical Committee and commenting on draft reports, with some networking and consultation with other NGOs.

Impact/lessons learned

The final Strategy document contains both the advocacy objective issues noted above, namely the role of NGOs in the provision of water and sanitation services in rural areas; and details on how community management might be implemented. These two objectives were therefore met as a result of the activity. The third objective, the involvement of other NGOs in the strategy formulation process, was met to the extent that their views were incorporated into the process, both through WaterAid's representation on the Technical Committee and by means of the Workshop.

WaterAid was the only NGO member of the Technical Committee. As noted above, early drafts of the Strategy contained no reference to the role of NGOs in the sector. It is therefore considered likely that the two key issues identified by WaterAid would not have been included in the final version of the strategy had they not taken part in the process.

This type of advocacy initiative is dependent on an invitation by the government to participate in the policy planning process – it is therefore reactive rather than pro-active. However, forward planning and analysis of future policy events (as suggested in Section 2.2.3) can allow NGOs to anticipate these kinds of opportunities and to plan and lobby for involvement in such processes. Furthermore, it is clear that WaterAid's invitation to participate was in large part a result of its previous relationship with the DWD and its reputation in the sector, as well as its ability to represent the views of other NGOs through the Forum. Earlier investment in networking with other NGOs and in the relationship with key government targets in the sector is a significant factor in the success of this initiative.

4.2 Contributing to the national water and sanitation strategy: Zambia[137]

Water Policy Making in Zambia[138]

With the support of the World Bank, the water sector in Zambia has just undergone major reform, as part of the government's decentralisation agenda. The resulting structure is outlined below.

At District level, individual ministries contribute their water and sanitation plans to the District water, sanitation and hygiene education committee (d-washe), which collates them into an overall district Washe plan, which is then submitted to the District Development Co-ordinating Committee (DDCC), and so on up the chain. The Department of Physical Planning and Housing and the Department of Infrastructure Support Services are both located in the Ministry of Local Government and Housing, with DISS increasingly the key sector department. Rural water issues are covered by this Ministry, while urban water development falls under the newly created NWASCO (National Water and Sanitation Council) – see Figure 4.

District Health Management Teams draw up their own district plans that are then approved by the Central Board of Health, with provincial Health Boards monitoring implementation of the plans. Most other ministries have plans handed down from central or provincial levels.

The key external actor in water policy development in Zambia is, as in many countries, the World Bank, although GTZ, Norad and the Irish Government have also been supporting the water sector reforms in Zambia. The World Bank has played a significant role in the inter-ministerial programme support unit and its secretariat, the Reform Support Unit, which it funded, and which was charged with overseeing the reform of the sector before being phased out in September 2000. The RSU was also responsible for the development of national water strategies to cover environmental sanitation, rural, peri-urban and urban water supply. It set up working groups to develop these strategies and WaterAid was invited to join those relating to rural water supply.

Key issues and advocacy objectives

WaterAid's objectives for their involvement in the national rural water strategy process were to ensure that two key issues were included in the strategy, as follows:

■ A focus on poor people and communities
■ A commitment to sustainability (which in practice is often a balance between people's ability to pay and their sense of ownership).

Targets

The key target of this advocacy initiative was the Reform Support Unit, the agency set up by the government to manage the reforms and strategy development, as this was the body responsible for drawing up the rural water strategy.

Allies

The Reform Support Unit controlled the invitation list for the working groups, so WaterAid was not able to invite its partners to participate. Some d-washes were invited by the RSU, and thus were able to contribute to the discussions, but there was no consistent representation of local organisations on the working groups.

Approaches, activities and tools

As in the Uganda case study in section 4.1, the main approach taken in this initiative was an 'insider strategy' of working with the officials of the Reform Support Unit and other participants at the strategy planning workshops. Again, the invitation to join the workshops and take part in the process was a result of WaterAid's experience and reputation in the sector, and its good relationship with government officials.

The key activity was the strategy planning workshops, to which WaterAid sent two representatives. Tools used included negotiation and meeting skills during the workshop. The representatives drew on WaterAid's experience to make their case. No fresh research was carried out, or reports tabled.

Other participants at the workshops included: N-washe, UNICEF, Ireland Aid, SNV, JICA, Environmental Council of Zambia, National Research and Development Council, some international NGOs at times, and various

Figure 4 Decision-making structures in the water and sanitation sector in Zambia

Ministry of Local Government and Housing

Ministry of Energy and Water Development – including Department of Water Affairs

Department of Infrastructure Support Services – rural watsan

Department of Physical Planning and Housing – peri-urban

National Water and Sanitation Council (NWASCO) – sector regulator. Principally urban/peri-urban

Provincial government office

Rural Water Supply Co-ordinator – funded by NWASCO housed in DISS

Ministry of Health

District Council

District Development Co-ordinating Committee

Central Board of Health – Chief Health Inspector/ Environmental Health Expert

Department of Education

District Health Management Board – Senior Environmental Health Technician

Provincial Health Board – Provincial Environmental Health Expert

District Washe Committee – a sub-committee of and advisor to the DDCC

Department of Community Development

Department of Water Affairs

Influence from other shareholders

government departments. There were five meetings on the environmental sanitation strategy, three workshops and two working group meetings for the community-based water strategy. The latter working groups focused on reviewing the draft situation analysis and the draft strategy, and had limited opportunity to make a direct contribution to the strategies of their own due to time constraints imposed by the donors.

Impact/lessons learned

The final strategy includes a commitment to community contributions for water provision. However, WaterAid was not the only body advocating this issue, for example, the World Bank are keen for community contributions to be a standard part of service provision. WaterAid's contribution was to emphasise the need to understand the implications of such a commitment for poor communities. WaterAid was able to ask questions about poor people's ability to pay and the need to balance this with the sense of ownership that is often a result of contributions by the community. The final version of the strategy does not encapsulate these concerns, but WaterAid feels that the issues have been noted, which should make it easier to follow them up during the monitoring of the implementation of the strategy. In this sense, it has been a partial advocacy success. The challenge for the future is for WaterAid to be involved in monitoring the implementation of the strategy and to assess the impact on poor communities in particular.

In addition, as a result of WaterAid's consistent contributions to this debate, it is likely to be invited to participate in the process of drawing up guidelines for community participation, gender, community contributions and so on which are planned under the new strategies.

4.3 The Mole conference series, Ghana[139]

Water and sanitation policy in Ghana

'In 1994, the Government of Ghana adopted a national policy for the community water and sanitation sector. This represented a bold initiative to co-ordinate the activities of all stakeholders operating in the sector and ensured that they all use a common basic approach. The World Bank was a major force behind the formation of the policy and restructuring of the rural water sector in Ghana. A major strategy of the new policy, which the World Bank has promoted elsewhere, is that the private sector should be given primary responsibility for implementation. Contracts for implementation were to be awarded on a competitive bidding basis and the role of government shifted from that of direct implementer to one of facilitator. The policy rests on a number of stated principles:

- Ownership and control of facilities by communities, for sustainability
- Involvement of women in management of facilities
- Selection of service level by communities in line with resources, for sustainability
- Community contribution towards capital cost
- Establishment of local committee or board to manage the facilities
- Community responsibility for operation and maintenance
- Private sector (including NGOs) to undertake service delivery
- Continuing technical and organisation support to communities
- Central role for District Assemblies in supporting community management
- Government to step out of service provider role and establish facilitative body
- Government to have monitoring role, performed by Ministry of Works and Housing.

'An institutional framework was established for the implementation of this policy. The Community Water and Sanitation Division (CWSD), originally part of the Ghana Water and Sewage Corporation in the Ministry of Works and Housing, was created to be the lead agency for policy. In 1998, the CWSD became a government-funded agency with an independent board, the Community Water and Sanitation Agency (CWSA), responsible for monitoring, evaluating and managing the sector. It has a Regional Water and Sanitation Team (RWST) in each region.

Each district assembly is responsible for establishing a District Water and Sanitation Team (DWST), whose role is to co-ordinate and monitor, but not to implement. NGOs and private contractors carry out the implementation through two types of contracts. 'Partner Organisation' contracts involve the social aspects of implementation (community mobilisation, participatory planning, and hygiene education) and are usually awarded to district-based NGOs. The second type of contract is for the construction of facilities, and is usually awarded to private construction contractors.

At present, only the World Bank has channelled funding directly through the CWSA, through its Community Water and Sanitation Project in four regions. A number of bilateral agencies operate and manage their own rural water and sanitation programmes in other regions. These agencies accept the broad principles of the policy but have their own arrangements for implementation. The government of Ghana and the World Bank are, however, keen that all donors should channel funds for rural water development via a national sector investment programme, to the CWSA, which would then disburse funding for implementation through the RWST and the District Assemblies.'[140]

There are a number of significant problems which have arisen in the implementation of the national policy in the four regions covered by the World Bank's Community Water and Sanitation Project I, as follows:

- Separating the social animation and construction functions between different organisations means the community have to liase with both these actors as well as the DWST, all of who can adopt conflicting approaches
- The approach to social mobilisation is rather prescriptive and under-funded
- There is no flexibility in the system for community payments in kind
- Many especially formed NGOs are dependent on contracts and have therefore no funds or time for building their own capacity

- Smaller NGOs find their time taken up wholly by the social mobilisation contracts, leaving no capacity for advocacy or other activities
- The DWST lacks sufficient resources to carry out its monitoring responsibility effectively
- Contractors and social mobilisation NGOs are accountable to the CWSA – there is no accountability to the community.[141]

The Mole Conference Series

In 1989, WaterAid, in collaboration with its local partners, organised a national conference for the water and sanitation sector, held in Mole in central Ghana, in order to create a forum for debate on sector issues. The conference was well attended and subsequent conferences have been held on an annual basis ever since. In 1997, WaterAid handed over responsibility for organising the conference to ProNet, a local NGO that WaterAid helped to establish in 1994.

Key issues and advocacy objectives

WaterAid and its local partners in Ghana considered themselves an interest group representing a particular constituency – rural communities without access to potable water or sanitation facilities. Although these communities had not given them a specific mandate, WaterAid and its partners felt that it was important to address the issues of access and distribution of water and sanitation facilities. It was in this context that the first Mole Conference was organised, to bring together policy makers and practitioners in the water and sanitation sector.[142]

The main advocacy objective of the conferences has been the improvement of communication and co-ordination between government officials and NGO representatives working in the sector. A second objective has been the raising of issues of significance through the choice of conference theme. For example, the first conference focused on hand dug wells, a technology that was not recognised or valued by the government at that time. The second conference was on the theme of 'rural water in the context of child survival', and considered issues of community participation and women's involvement in water management.

Targets

Participants at the conferences include regional and national officers from the CWSA and the RWST, some district chief executives and civil servants, representatives from the Ministry of Works and Housing, WaterAid and other NGO representatives, partner organisations, and donors. The key targets for advocacy messages are the CWSA policy makers and key donor representatives (such as the World Bank) who play a major role in policy making. For 'good practice' issues, such as the promotion of hand-dug wells, local and regional level government officers and other implementing NGOs are also a target.

The speakers at the Conferences are taken from the participants, and hence the presentations may come from all sides of any debate, not only from WaterAid's own perspective.

Allies

The main ally in this process has been WaterAid's partner, ProNet, who have organised the conferences since 1997.

Approaches, activities and tools

The advocacy approach underlying the conference series is an 'insider strategy' involving information sharing, co-ordination and relationship building with government officials. The key activity is the conference itself, but the conference report also forms a useful advocacy tool which can reach a larger number of people than only those who participated at the conference.

Impact/lessons learned

When the Mole conference series was established, it was the first and only forum for debate on water and sanitation issues in Ghana. It therefore, provided a significant opportunity for advocacy on key issues and the early conferences appear to have had some success in this area. For example, the conference, together with other advocacy initiatives, has been instrumental in changing government policy towards hand-dug wells in Ghana, which are now recognised as an acceptable potable water source.[143] Other key issues, such

as the role of women in water management, challenges of community management of water services, and issues of sustainable sanitation, have been debated at the conferences. The fifth conference (in 1994) focused on *training, health and wells* in the light of the new national community water supply and sanitation strategy, while the sixth (in 1995) considered a particular aspect of the strategy, *partner organisations and district water and sanitation teams: main players at district level in sector strategy implementation*.

Collaboration and co-ordination between agencies working in the water and sanitation sector has undoubtedly increased as a result of the Mole Conference series: 'in respect of the availability of affordable technology that could help achieve the laudable objectives of the UN Water and Sanitation Decade, collaboration was made possible. Inter agency co-ordination was achieved and this resulted in the pursuit of common strategies and policies that led to an optimum use of resources'.[144] The Conference has created a venue for cross-sector discussion between NGOs, government and the private sector, and has helped to develop the relationship between NGOs and government officials.

However, there are opportunities for the Mole Conference to achieve more, through more specific, more targeted, advocacy objectives, which focus on particular issues (for example some of the problems in implementing the community water and sanitation policy described above), while at the same time continuing to build on the conference series' good relationships and reputation – ie still using the 'insider strategy' which has been developed over the last ten years. The challenge for the future is to ensure that the Mole Conference series is not a mere 'talking shop', but has a sharp advocacy focus which makes the most of the opportunity it provides. To address this challenge, the mole organisers would need to be better co-ordinated in developing this advocacy message and objective, as well as following up on any commitments or concerns achieved at the conference.

4.4 Reducing government subsidies for sanitation, India[145]

Water and Sanitation Policy in India

Nationally, the Ministry of Rural Development has the responsibility of co-ordinating rural water supply and sanitation programmes. The Department of Drinking Water Supply, within the Ministry, implements the two major schemes – the Rajiv Gandhi National Drinking Water Mission, and the nationally sponsored Central Rural Sanitation Programme (CRSP). The CRSP is responsible for latrine construction and subsidies.

The role of central government is to guide the water and sanitation programmes, which are implemented through the state governments, preparing guidelines and allocating some of the funds. State governments may follow their own guidelines for those programmes that receive direct funding, rather than through central government.

The state rural drinking water supply and sanitation programme is carried out by either the Ministry of Rural Development or the Panchayat Raj of the state government. At the user level, many states now entrust the responsibility for management and maintenance of these programmes to the panchayats.

A number of donors support water and sanitation programmes in India both through central government and the state governments, including the World Bank (Water and Sanitation Program), UNDP, DFID, the government of the Netherlands, and the government of Denmark. This support comprises funding, planning and implementation support, capacity building, studies and support to sector reform processes.

The Rajiv Gandhi National Drinking Water Mission was created in 1986 under the Department of Drinking Water to provide impetus to the drinking water sector programmes of the Rural Development Ministry. It is involved in support for planning and implementing water supply and sanitation programmes, carrying out reviews and studies, introducing sector reform processes, organising workshops and symposia and facilitating inter-sectoral co-ordination of ministries and departments.

The Ministry of Water Resources, which is responsible for policy guidelines and programmes for the development and regulation of India's water resources, is made up of three main sections. The Central Water Commission is the key technical organisation for water resources, responsible for schemes to control, conserve and utilise water resources nationally. The role of the National Water Development Agency is to promote scientific utilisation of water resources in India, while the Central Ground Water Board carries out hydrological surveys and exploration in support of the development and management of ground water resources in the country.

Sanitation promotion in Tamilnadu

In the mid-1990s, the Central Rural Sanitation Programme (CRSP) was promoting a standard model of latrine costing Rs2,500, with a flat rate subsidy of Rs2,000. Uptake of the model was low, as the latrine was associated with the middle classes and there was no motivation among the people for latrine promotion. At that time WaterAid was promoting a cheaper model with a subsidy of Rs650. However, uptake of the WaterAid model was also low as communities were suspicious that they were being offered a cheap, second-rate product.

WaterAid then decided to try a more flexible approach, involving the following elements:

- Fostering demand for sanitation through hygiene promotion
- The promotion of a range of inexpensive substructure designs, leaving families free to choose an affordable superstructure themselves
- Varying levels of subsidy depending on the design chosen and the people's ability to pay, with a maximum subsidy of Rs650
- Loans for construction (separate from the subsidies) managed by individual village *sangams* (committees)
- Transferring the decision making on who receives a subsidy, credit support and the amount to local people.

Working together with partners and other NGOs in the state, WaterAid has successfully promoted this new approach throughout Tamilnadu. There is now widespread demand and support for latrine

Figure 5 National structures for decision-making in the water and sanitation sector in India

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                         │ Government of India │
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┌─────────────────────────────┐             ┌─────────────────────────────┐
│ Ministry of Rural Development│             │ Ministry of Water Resources │
└─────────────────────────────┘             └─────────────────────────────┘
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| Department of Rural Development | Department of Drinking Water | Central Water Commission | Central Ground Water Board | Department of Land Resources | National Water Development Agency |

Rajiv Ghandi Drinking Water Mission and Central Sponsored Rural Sanitation Programme

State Government

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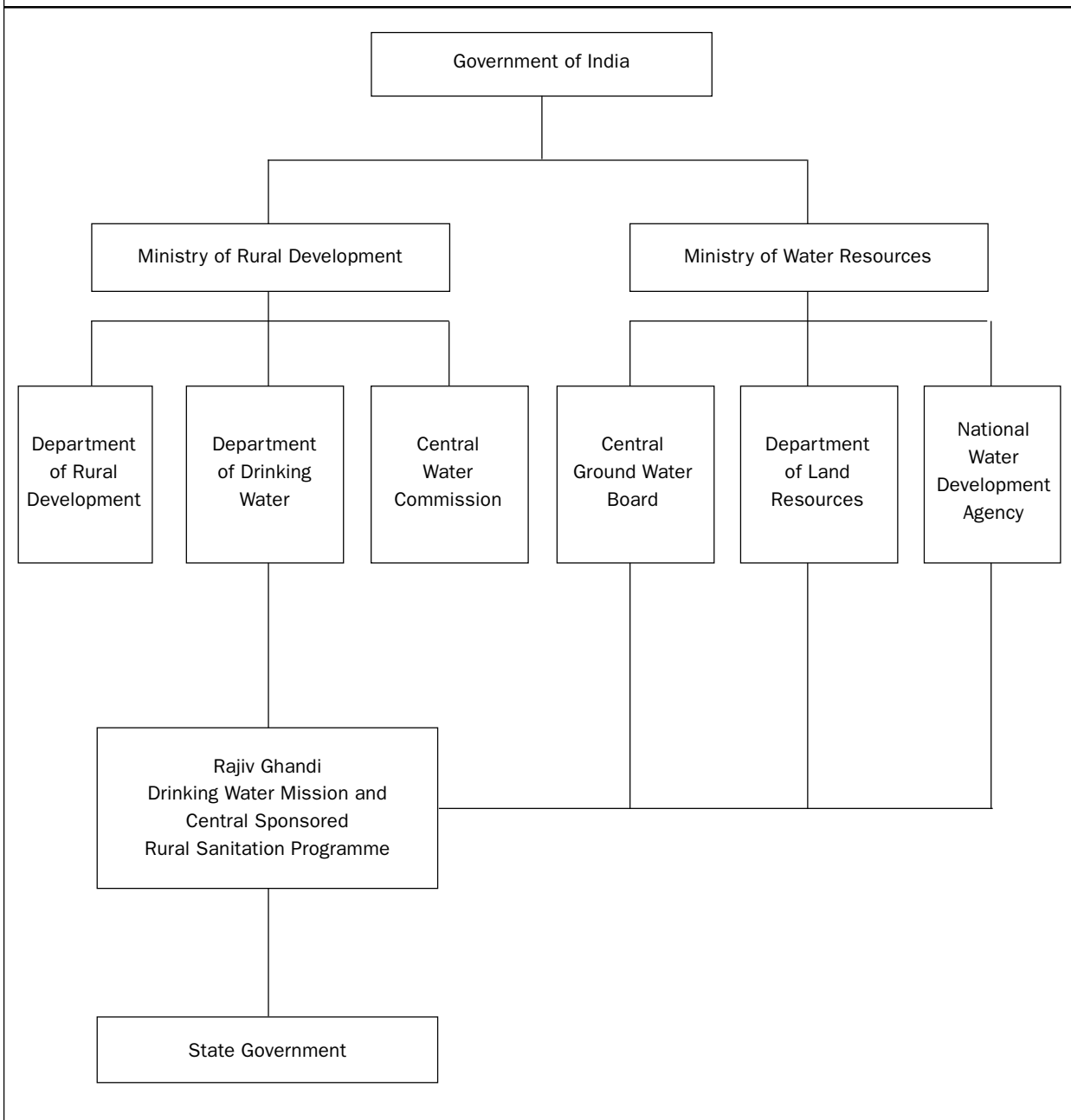
construction, and appropriate allocation of funds for hygiene promotion, staff and training materials from NGOs in the state.

Key issues and advocacy objectives

As a result of this success, WaterAid decided to take the opportunity to influence government policy on hygiene and latrine subsidy. The key objectives were to gain a commitment from leading government authorities and others to:

■ A reduction in the subsidy level for latrines, to increase community/individual control and management through more affordable structures, and promote wider uptake

■ The promotion of hygiene education to improve sanitation and increase demand for sanitation services.

Targets

The two government targets were the Central Rural Sanitation Programme undertaken by the various state and central departments and CAPART, the

Figure 6 **State-level structures for decision-making in the water and sanitation sector in India**

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                          │  State Government   │
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   ┌──────────┴──────────┐                      ┌────────────┴───────────┐
   │ Ministry of Rural    │                      │ Ministry of Public Works│
   │ Development/          │                      │                        │
   │ Panchayat Raj         │                      │                        │
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      ┌───────┴────────┐                          ┌────────────┴────────────┐
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│ Department │  │ Department of │        │ Groundwater     │      │ Irrigation         │
│ of Rural   │  │ Drinking      │        │ Survey          │      │ Engineering        │
│ Development│  │ Water Supply  │        │ Department      │      │ Department         │
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      │                │
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│ District   │  │ BOARD/Public  │
│ Rural      │  │ Health        │
│ Development│  │ Engineering   │
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      │         │ (PHED)        │
      │         │ (Both for     │
      │         │ Urban and     │
      │         │ Rural)        │
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│ Block      │  ┌─┴───┐  ┌────┴───┐
│ Development│  │Urban│  │ Rural  │
│ Office     │  └──┬──┘  └───┬────┘
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      │         │Corpora-│ │District &│
      │         │tion and│ │Block     │
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          │  Panchayat  │─────┘
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government agency that funds Indian NGOs. UNICEF and UNDP were also targets as key actors in the Tamilnadu water supply and sanitation sector.

Allies

In 1996, WaterAid played a major role in establishing an informal network of organisations in Tamilnadu working in rural water supply and sanitation. This network formed the basis of an alliance that lobbied government on the advocacy issues described above.

Approaches, activities and tools

The advocacy approach was based on demonstration and persuasion. Key activities included formal and informal meetings with the Tamilnadu Ministry of Rural Development, CAPART, UNICEF and UNDP, organised through the network of NGOs; and field visits made by government representatives to pilot communities successfully implementing the flexible, low subsidy approach. In 1998, WaterAid and its allies participated in a national level meeting of senior state and central government officials to discuss sanitation, which laid the foundation for further consultations and discussions. Later that same year, WaterAid, together with two of its partners, attended a national meeting on sanitation, sponsored by the Rajiv Gandhi Drinking Water Mission and UNICEF. WaterAid and its allies used the meeting as a vehicle to promote their advocacy objectives on government sanitation policy. This meeting was a key step in the process of changing government policy.

The network used tools such as negotiation (in the meetings) and the presentation of alternatives (through field visits and case study reports) to persuade the government officials of the validity of their advocacy objectives.

Impact/lessons learned

As a result of these activities, the advocacy objectives outlined above have been met, through a number of outcomes. First, the Central Rural Sanitation Programme has agreed to be flexible and accept under its various programmes different models of latrines and to vary their subsidy level,
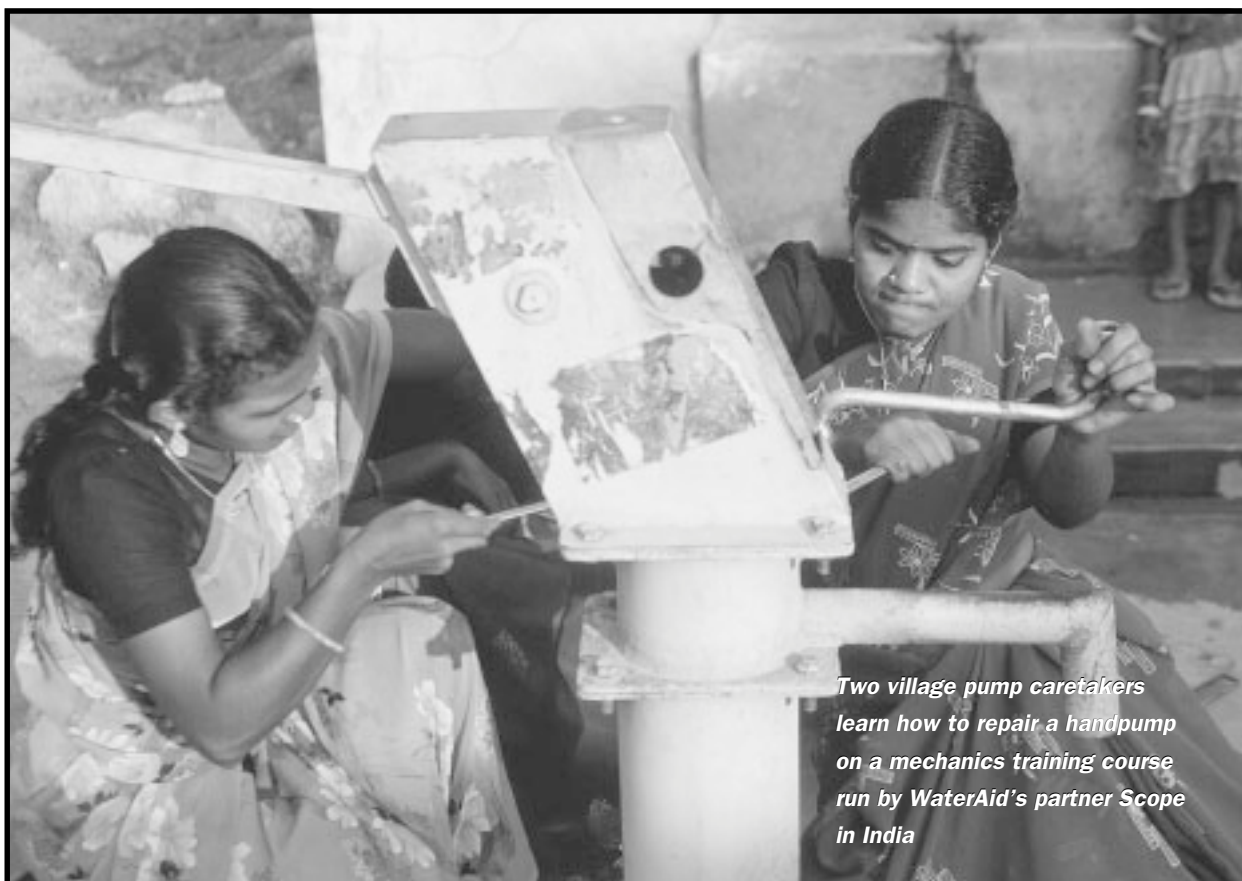
Two village pump caretakers learn how to repair a handpump on a mechanics training course run by WaterAid's partner Scope in India

WATERAID/CAROLINE PENN

up to 50% of the costs. Although the maximum subsidy level of Rs2,000 was retained, many latrines are being constructed for Rs1,000-1,400, which means the government share is only Rs500-700, enabling three or more times the number of latrines to be constructed than under the original government scheme.

Second, CAPART has agreed to fund projects through WaterAid's partner NGOs who then divide Rs2,000, the total subsidy allocated for a unit of latrine, between latrine construction, hygiene promotion and environmental sanitation. Third, UNICEF is diverting funds away from subsidies towards supporting skills training and appropriate technology training centres.

Fourth, in 1997, the state government set up a committee of senior civil servants, UNICEF, WaterAid and other NGO representatives to consider the economic benefits of preventive health care versus the spiralling costs of the state's curative infrastructure. As a result of the work of this committee, new policies were announced, detailing the specific mention and fund allocation under the Human Resource Department to promote community management of water and sanitation; and promoting hygiene education in schools.

Finally, largely as a result of the 1998 sanitation meeting, the reduced subsidy levels have been accepted as standard in the Government of India's restructured Central Rural Sanitation Programme. Through this new initiative, renamed the Total Rural Sanitation Programme, this policy is currently being piloted in several states prior to national implementation.

Key factors in the success of this advocacy initiative have been assessed as follows:

- Demonstrating successful initiatives in the field
- Providing cheaper, alternative models which still meet the required standards
- The strength of the NGO network in providing support and a unified voice when dealing with government
- The reputation of the NGOs in the network.

4.5   Zimbabwe case study: the Mvuramanzi Trust[146]

Background[147]

The Blair Institute in Harare is a government research station focusing on water and sanitation issues. However, the dissemination and uptake of their findings, by both government and other organisations in the sector, has been very slow and limited. In 1992 WaterAid established an NGO, called the Mvuramanzi Trust ('mvura' is Shona for water, while 'manzi' means water in Ndebele). The Trust aimed to illustrate (on a large scale, in the field) the potential of new technologies and approaches based on the work of the Blair Institute, and then to advocate these approaches to government and other operational agencies.

Key issues and advocacy objectives

The Mvuramanzi Trust focused on the issue of reducing the costs of water and sanitation provision through the promotion of two key technologies, as follows:

1   **Family wells** for community water provision. With a low level of subsidy, existing technologies of community well construction can be improved, resulting in a low-cost end product which is acceptable to the community. At the time when the Mvuramanzi Trust was established, the government of Zimbabwe did not accept the validity of this technology

2   **Blair VIP (Ventilated Improved Pit) latrines**. The VIP latrine developed by the Blair Institute uses only 4 bags of cement, compared to twice that amount for other VIP latrines common in Zimababwe during the 1980s. The technology involved is simpler and therefore more accessible to poor communities.

In the early 1990s, the very concept of reducing the costs of water and sanitation provision was in itself a policy challenge for those wishing to influence government. The Trust's advocacy objectives were therefore to introduce the notion of reducing costs and to gain recognition for and promotion of these two technologies on the part of government agencies involved in the water and sanitation sector.

Targets

The targets of this advocacy work were government officials in the Ministry of Health who held responsibility for water and sanitation policy. Government staff at District level were 'influentials' or initial targets, who were then encouraged to feed information up the reporting chain to their superiors.

Allies

The Mvuramanzi Trust employed a number of people who had previously worked at the Blair Institute, who had good contacts for and knowledge about government decision-making processes. Their former colleagues in government were therefore allies in the advocacy process.

Approaches, activities and tools

This advocacy initiative involved two levels. The first approach was the creation of the NGO, the Mvuramanzi Trust, which became a vehicle for advocacy. At the second level, the Trust then used the approach of demonstrating the two technologies, family wells and Blair VIP latrines, on the ground on a large scale, to advocate both the technologies themselves and the concept of cost reduction.

The results of the two technologies were demonstrated to both local and national government staff, targeting local, district-level staff initially to gain a groundswell of opinion as a basis for then influencing national staff.

Tools used included both formal and informal contacts with government staff and project visits. Another strategy was the inclusion of senior ministry officials, including some from the Ministry of Health, on the Board of the Trust. This facilitated information sharing and in particular the presentation of evidence to a number of relevant senior government staff.

Impact/lessons learned

The original advocacy objectives of this initiative were achieved to a certain extent. By 1996, the Trust had supported the upgrading of 20,000 family wells around the country. By the end of the decade there were over 50,000 as the technique and approach piloted by Mvuramanzi were adopted by a variety of donors.

WaterAid helped to establish the Trust and supported it during its initial years, then reduced its funding and finally phased out. The Trust today continues to promote family wells, and is aiming to further reduce the cost of latrines, as even the cheaper Blair VIP is relatively expensive and out of the reach of many poorer households in Zimbabwe.

The Mvuramanzi Trust was established in order to trial and promote approaches that had already been proven to work technically. By taking these ideas "out" of government it was possible to attempt to scale up and through such examples to advocate effectively. Advocacy was not therefore the main aim of the Trust at the outset, which was rather to make technologies that the initiators believed are more accessible for poor people. However as the potential of the work became clear in the first few years, advocacy became one of the key activities.

ADVOCACY: WHAT'S IT ALL ABOUT

Section 5 Resources and further information

This Section contains information that may be of use to NGOs planning advocacy work. The first part describes some of the key water policy actors at international level. The second looks at some of the relevant policy processes and forums, again at international level. The third lists some organisations and networks involved in freshwater advocacy, while the final part contains a brief annotated bibliography of suggestions for further reading. A full list of publications referred to in the text is given in the Bibliography Section that follows this.

5.1   Key international water policy actors

This Section lists some of the key international institutions in the freshwater policy arena and gives a brief summary of their organisational structure and interests[148]. Additional information may be obtained from the organisations themselves (see the contact addresses and websites within each entry). The following organisations are listed:

- Water Supply and Sanitation Collaborative Council
- World Water Council
- Global Water Partnership
- United Nations Commission for Sustainable Development
- World Bank
- International Water Association
- UNICEF: Water and Environmental Sanitation Programme
- United Nations Development Program
- European Union.

5.1.1   Water Supply and Sanitation Collaborative Council (WSSCC)
c/o WHO (CCW)
20 Avenue Appia
CH-1211 Geneva 27
Switzerland

Tel: +41 22 791 3685
Fax: +41 22 791 4847
Email: wsscc@who.ch
Website: http://www.wsscc.org/

Origin and structure:
The WSSCC was established in 1990, at the end of the International Drinking Water Supply Decade, with a mandate from (but no affiliation to) the UN General Assembly. The Secretariat, hosted by the World Health Organisation in Geneva, is led by the Executive Director, who reports to a Council headed by a part-time honorary chairperson.

Purpose and key focus:
The WSSCC describes itself as a cross between a professional association and an international NGO. Its purpose is to maintain momentum of the Drinking Water Supply Decade by providing a regular way for sector professionals to exchange views and experiences, and to develop approaches that will mean faster achievement of the goal of universal coverage. It focuses, as its name suggests, on the water and sanitation sub-sector of the freshwater sector. The WSSCC mission statement is: *"to accelerate the achievement of sustainable water, sanitation and waste management services for all people, with special attention to the unserved poor, by enhancing collaboration among developing countries and external support agencies and through concerted action programmes"*.

Activities:
The WSSCC organises a Global Forum every three years (see Section 5.2.2). The Secretariat hosts the Global Environmental Sanitation Initiative (GESI) led by an international steering committee

to raise the profile of sanitation and hygiene through a major thrust in advocacy, collaboration and funding. The WSSCC has initiated a number of Task Forces (eg Vision 21 for Water Supply and Sanitation; Guidelines for Disaster Preparedness in Small Island Developing States, etc); Working Groups (on environmental sanitation, community-based management, human resources development and other issues); and Networks (services for the urban poor; gender network; Global Applied Research Network – GARNET, among others).

Membership and civil society involvement:

Membership is open to individuals (water and sanitation professionals), with no subscription charges. The Global Forums (see 5.2.2) provide the main contact between WSSCC and its members. The working group mandates are determined at each Global Forum and the groups themselves are formed from volunteers from both developing and developed countries.

5.1.2   World Water Council
Les Docks de la Joliette
13302 Marseilles
France

Tel: +33 4 91 99 41 00
Fax: +33 4 91 99 41 01
Email: wwc@worldwatercouncil.org
Website: http://watercouncil.org

Origin and structure:

A meeting of Ministers in Noordvijk in the Netherlands in 1994 concluded that there should be a world-wide water organisation to cover the whole water sector, along the lines of the World Health Organisation or the World Trade Organisation. In 1996, the World Water Council was formed as an NGO with a Secretariat in France. There is also a Western Hemisphere Bureau in Canada and an Africa and Middle East Bureau in Egypt.

Purpose and key focus:

The WWC functions as an international water policy think tank. Its mission is: *"to promote awareness about critical water issues at all levels, including the highest decision making level and the general public, and to facilitate the efficient conservation,*

protection, development, planning, management and use of water on a sustainable basis for the benefit of all life on this earth."

Activities:

The WWC organises the triennial World Water Forum (see Section 5.2.1). In preparation for the 2nd Forum in the Hague in early 2000, the WWC was responsible for the World Water Vision for Life and the Environment, through the World Commission for Water, a working group which it set up based at UNESCO in Paris and which has since been disbanded. The current focus is on establishing monitoring systems for the World Water Vision in Action, through a Monitoring Secretariat; stimulating policies for the financing of water development and protection (*"unleashing the power of the private sector by focusing on an enabling environment with a regulatory, legal and institutional framework that will promote and protect investments"*); and the creation of the World Commission on Water, Peace and Security, to assist nations in current and potential trans-boundary water issues with an independent opinion.

Membership and civil society involvement:

The WWC currently has about 200 members from over 50 countries. Membership is open to all entities interested in furthering the objectives of the WWC and includes national and international institutions, government agencies, private and public agencies and firms, NGOs, UN bodies, academic, scientific and professional organisations. There is an annual membership fee of US$1,000. Concern has been expressed that some organisations, particularly those from developing countries, may not be able to afford this high membership fee and are therefore unable to contribute to the WWC.

5.1.3   Global Water Partnership
GWP Secretariat
C/o SIDA
S-10525 Stockholm
Sweden

Tel: +46 8 698 50 84
Fax: +46 8 689 56 27
Email: gwp@sida.se
Website: http://www.gwp.sida.se/gwp

Origin and structure:

The GWP was set up in 1994 as a result of the same meeting of Ministers at Noordvjik in the Netherlands that initiated the World Water Council. It consists of a Consultative Group, made up of all members; a Steering Committee, composed of representatives of donors and other organisations, which provides guidance to the Executive Secretary; a Secretariat based at SIDA in Sweden; and a Technical Advisory Committee. Seven regional Technical Advisory Committees have also been established.

Purpose and key focus:

Its purpose is to *"help consolidate the sector, root it in the Dublin-Rio principles and their subsequent development and translate those principles into real action on the ground"*. It aims to provide a market place where those organisations needing help and those who can give it may meet. Its focus is on implementation rather than policy, in the broader water sector (not just water and sanitation) in both developing and developed countries.

Activities:

The GWP's main activities include the Global Water Forum, an independent on-line venue (see 5.2.8); the GWP Consultative Group Meeting (annual meeting of all GWP members and partners held in August in Stockholm); and Associated Programmes (autonomous service provision programmes designed to assist stakeholders to solve problems in water resources management by pooling the best knowledge available within the partnership and packaging it into services that meet the demands of the regions).

In the run-up to the 2nd World Water Forum at The Hague in March 2000, the GWP was responsible for co-ordinating the Framework for Action, a plan for implementing the World Water Vision. A Framework for Action Unit has been created as a central body to establish and facilitate the FFA process and co-ordinate outputs.

Membership and civil society involvement:

GWP membership is open to organisations and agencies (rather than individuals) interested in the sustainable management of water resources who are able to contribute to or use the services of GWP's field programmes. Membership is free.

5.1.4 United Nations Commission for Sustainable Development (CSD)

UNCSD Secretariat
Division for Sustainable Development
United Nations Plaza
Room DC2-2220
New York
NY 10017
USA

Tel: +1 212 963 3170
Fax: +1 212 963 4260
Email: dsd@un.org
Website: http://www.un.org/sustdev/ (CSD homepage)
http://www.csdngo.org/csdngo (NGO information)

Origin and structure:

The Commission for Sustainable Development was established as a result of the 1st Earth Summit in Rio in 1992. It is made up of 53 government delegates who meet annually in New York, and is housed in the Department of Economic and Social Affairs in the UN in New York. The CSD NGO Steering Committee* was established to facilitate the involvement of NGOs and other major groups at the annual CSD meeting. The NGO Steering Committee has regional caucuses, issue caucuses, and major groups. Representatives on the Steering Committee are elected annually from 'accredited NGOs' by the regional and issue caucuses. One of the issue caucuses is the NGO Freshwater Caucus (see 5.2.4). The CSD Secretariat also houses the Administrative Committee for Co-ordination's Sub-Committee for Water Resources.

To increase NGO influence at CSD sessions, a key innovation introduced by the NGO Steering Committee is the holding of Multi-Stakeholder Dialogues (MSD) at each of the CSD sessions, starting in 1998. The MSD sessions are normally 2 days of discussions between the different major groups present for purposes of generating meaningful dialogue between governments and representatives of major groups to identify policy directions.

Purpose and key focus:

The purpose of the CSD is to support the implementation of Agenda 21 (of which Chapter 18 focuses on freshwater issues).

Activities:

The main activity of the CSD itself is its annual meeting. CSD8, held in April/May 2000, included a paper on *"Progress made in providing safe water supply and sanitation for all during the 1990s"*. The NGO Steering Committee's main activities include co-ordination of NGO input into the annual CSD; and an outreach newsletter (published by UNED-UK) to which NGOs contribute. The Issue Caucuses prepare coalition NGO position papers and lobby government delegates.

Membership and civil society involvement:

As membership of UN bodies is only open to nation states, NGOs cannot be members of UNCSD. However, they can become 'accredited' or gain 'consultative status' with the CSD. One of the CSD's six goals is to *"promote an active and continuous dialogue with governments, civil society and other international organisations aimed at building partnerships to solve key issues and problems related to sustainable development"* and the NGO Steering Committee is the key mechanism for this dialogue. Membership in individual caucuses is not restricted to 'accredited NGOs', but they are supposed to contain at least 10 accredited NGOs to be considered active and to be able to elect Steering Committee members. Membership is only for organisations, not individuals. Organisations may contribute to an issue caucus by subscribing to the listserver (http://www.igc.org/csdngo/ to subscribe).

* After the meeting of the CSD NGO Steering Committee during CSD-9 in April, 2001, a decision was taken to re-structure the committee. As a result, activities of the NGO Steering Committee are currently suspended.

5.1.5 *World Bank*
1818 H Street, NW
Washington
DC 20433
USA

Tel: +1 202 477 1234
Fax: +1 202 477 6391
Email: info@worldbank.org
Website: http://www.worldbank.org

The World Bank consists of 5 closely associated institutions:

1 International Bank for Reconstruction and Development (IBRD), which gives loans and development assistance to middle income and credit worthy poorer countries

2 International Development Association (IDA) focuses on the poorest countries, and provides interest free loans

3 International Finance Corporation (IFC) finances private sector investments in developing world and provides technical assistance

4 Multilateral Investment Guarantee Agency (MIGA) provides guarantees to foreign investors in developing countries

5 International Centre for Settlement of Investment Disputes (ICSID) provides conciliation and arbitration facilities between foreign investors and host countries.

The World Bank is made up of 27 Vice-Presidencies, seven of which are linked to geographical regions, and the remainder to different sectors. There are four major themes relating to water that cut across the regions and sectors, namely: hydro-power; water and sanitation; irrigation and drainage; and the water environment. There are at least four main groupings of the World Bank which include a concern with the water sector in their brief, as set out below.

Regional Vice-Presidencies

This is the implementing part of the World Bank through which it lends money to governments to carry out agreed programmes. World Bank regional offices often have water sector professionals attached to them to advise on water projects within country programmes.

Vice-Presidency for Finance, Private Sector and Infrastructure (FPSI)

This Vice-Presidency has recently undergone restructuring. There is now a department within the Infrastructure section specifically dealing with water and sanitation. The main function of the department is "knowledge management", which is understood to mean giving professional advice to the geographical/regional departments in Washington. The Demand Responsive Approach is now a key feature of World Bank policy on water and sanitation, as part of the Bank's efforts to achieve effective and sustained community-managed services. It also provides management for the Water and Sanitation Program (see below), which is otherwise separate from the World Bank.

Vice-Presidency for Environmentally and Socially Sustainable Development

This Vice-Presidency has two water sector professionals. One of them, Jon Briscoe, is Senior Water Adviser and advises the Vice-President.

Water Sector Board

This board is the World Bank's think tank on water and cuts across the hierarchy. In practice the grouping appears to be more interested in water for irrigation and the resolution of conflict, rather than water supply and sanitation.

The World Bank also operates a global water and sanitation advisory service, the Water Help Desk: Whelpdesk@worldbank.org

The World Bank is involved in the production of Poverty Reduction Strategy Papers (PRSPs) for many countries in the world (see Section 5.2.7). The World Bank is also currently piloting a new integrated approach in 12 countries, the Comprehensive Development Framework (CDF), which aims to address wider issues such as governance, social development and institutions, as well as simply financing projects and supporting discrete policy reforms.

World Bank: Water and Sanitation Program (WSP)
Room F4K-172
1818 H Street
Washington
DC 20433
USA

Tel: +1 202 473 9785
Fax: +1 202 522 3313
Email: info@wsp.org
Website: http://www.wsp.org/

Origin and structure:

The WSP was established within the World Bank with joint funding from the Bank and UNDP. It has a decentralised structure based on five regional offices: Andean Region; East and Southern Africa; West and Central Africa; East Asia and the Pacific; and South Asia. Although technically it is managed by the World Bank's Water and Sanitation Department, it operates largely independently.

Purpose and key focus:

The WSP's purpose, together with partners in government, donor agencies, the private sector and NGOs, is to promote innovative solutions tailored to local needs and conditions. Its current approach emphasises demand-responsiveness in which:

- A balance is struck between the economic value of water to users, the cost of providing services to users, and the prices charged for these services
- Management decisions about service levels, facility locations and cost sharing are generally made with public consultation and user involvement in the planning and implementation of water and sanitation projects

Activities:

The WSP works in three key areas: strengthening sector policies, by assisting governments in the design of appropriate policies, strategies and programmes; supporting sustainable investments, by building country capacity; and learning and communicating lessons, through analysis and dissemination at country, regional and international levels. In 1984 the WSP launched the International Training Network (ITN), a network of local, regional and international training institutions, to support training in low-cost water supply and sanitation.

World Bank: NGO and Civil Society Unit

The World Bank has an NGO and Civil Society Unit, located in the Social Development Department, within the Environmentally and Socially Sustainable Development Vice-Presidency. The Unit aims to work with NGOs and other organisations of civil society world wide, and to provide institutional guidance on the Bank's work with civil society, for example through contributing to documents such as the Comprehensive Development Frameworks and Poverty Reduction Strategies. It holds meetings at national, regional and international level, and works through networks such as the NGO-World Bank Committee and CIVICUS.

5.1.6 International Water Association
Alliance House
12 Caxton Street
London
SW1H 0QS
UK

Tel: +44 (0) 20 7654 5500
Fax: +44 (0) 20 7654 5555
Email: water@iwahq.org.uk
Website: http://www.iawq.org.uk

The International Water Association (IWA), an international membership organisation, is dedicated to promoting best practice in water supply, wastewater collection and treatment, water pollution control and water quality management. It was formed by the merger of two international organisations, the IAWQ (International Association of Water Quality) and the IWSA (International Water Services Association). IWA is collaborating with other international organisations to support a new internet resource dedicated to improving sanitation world-wide. The IWA 2001 World Water Congress will be held in Berlin, Germany, in October 2001.

5.1.7 UNICEF: Water and Environmental Sanitation Programme (WES)
UNICEF
3 UN Plaza
New York
NY 10017
USA

Tel: +1 212 326-7000 (UNICEF switchboard)
Tel: +1 212 824-6000 (WES)
Fax: +1 212 887-7465 (UNICEF)
Fax: +1 212 824-6000 (WES)
Email: wesinfo@unicef.org
Website: http://www.unicef.org
WES website: http://www.unicef.org/programme/wes/info

UNICEF, the United Nations Children's Fund, carries out its work through eight regional offices and 125 country offices. Its major involvement in water is through the Water, Environment and Sanitation Programme (WES). It now supports long-term WES programmes in 90 countries in Africa, Asia and the Americas. The WES Programme has a number of focus areas: WES, child rights and the global agenda; women and WES; WES for the urban poor; sanitation, hygiene and water; and children and the environment.

5.1.8 United Nations Development Programme (UNDP)
UNDP
1, UN Plaza
New York
NY 10017
USA

Tel: +1 212 906 5000
Website: http://www.undp.org

The UNDP is the United Nations' principal provider of development advice, advocacy and grant support, with a presence on the ground in virtually every developing country. It has six focus areas, one of which is 'Energy and Environment Policy', which encompasses the development of clean, affordable energy and the sustainable management of natural resources including *water*, land and biodiversity.

This work is mostly carried out through the SEED programme, which is co-ordinated by a small Directorate based at UNDP headquarters. SEED consists of five units:

- **Capacity 21:** responsible for a special programme to help countries build capacity to implement Agenda 21
- **Energy and Atmosphere Programme:** responsible for programme and policy support in these subject areas, and for the management of associated Special Programmes, as well as for UNDP's activities as implementing agency for the Montreal Protocol
- **Global Environment Facility:** responsible for UNDP's activities as one of three implementing agencies for the GEF (see below). Includes work on *international waters*
- **Natural Resources Unit:** responsible for programme and policy support in the thematic areas of food, forests, and water, as well as for the management of associated Special Programmes. Includes *water, waste management and aquatic environment*
- **Office to Combat Desertification and Drought (UNSO):** responsible for the special programme earlier established within UNDP to combat desertification and drought.

UNDP's water-related activities focus on *'providing support to the capacity building process through and with governments and civil society for the management and use of water resources and the aquatic environment in ways that reconcile poverty alleviation and environmental protection.'* UNDP's Water Strategy is available from the Natural Resources Unit or from the website: http://www.undp.org/seed/water

The Global Environment Facility (GEF) is a joint project between UNDP, UNEP and the World Bank. It was established to forge international co-operation and finance actions to address four critical threats to the global environment: biodiversity loss; climate change; *degradation of international waters*; and ozone depletion. It brings together 166 member governments, leading development institutions, the scientific community and private sector and non-governmental organisations. Freshwater-related projects are based on three categories: 1) water bodies; 2)

integrated land and water projects; and 3) contaminants; and include pollution control and environmental management on lakes and rivers around the world, integrated watershed management projects and lake and river biodiversity management initiatives.

Website: http://www.undp.org/gef

5.1.9 *European Union*
European Commission: DG Development
Rue de la loi 200
B-1049 Brussels
Belguim

Tel: +32 2 299 1111
Website: http://europa.eu.int/comm/development

The European Union consists of a number of related institutions, the most significant being the European Parliament, the Council of the European Union, and the European Commission. Other institutions include the European Court of Justice, the European Investment Bank and the European Ombudsman.

The Parliament consists of democratically elected representatives of the peoples of the European Union, while the Council (usually known as the Council of Ministers) is the body through which member states legislate for the Union, co-ordinate national policies and set political objectives. The European Commission initiates proposals for legislation, is the guardian of Treaties, and the manager of Union policies and international trade relations.

The Commission is made up of Directorates-General focusing on different areas. With regard to water, there are two related Directorates, DG Development and DG Environment. DG Development is responsible for drawing up Sectoral Policies which inform the EU's work in developing countries, in particular in ACP countries under the Lomé agreement (now the Cotonou Agreement). Within the Infrastructure Sector Policies Department, there exists a Sectoral Policy on Water Resources (summarised on the website: http://europa.eu.int/comm/dev/sector/water) which outlines the EU's priorities in the sector. Contact: André Liebaert, DG for Development, Unit A/3 –

Infrastructure sector policies – Water resources sector. Tel: 32 2 299 2753; fax: 32 2 299 0603; email: andre.liebaert@cec.eu.int.

DG Environment focuses more on environmental issues within EU member countries. It has policies on a number of environmental themes including water (in particular clean water) and waste, as well as biodiversity, chemicals and environmental assessment. See the website for further information: http://www.europa.eu.int/comm/environment/. The EU Water Framework Directive was recently drawn up to outline European water policy for clean water within European member states. This can be viewed on http://www.europa.eu.int/water/water-framework/.

Rajabu Rashid holds his seven month old baby outside their new latrine, Chessa village, Tanzania

WATERAID/JIM HOLMES

5.2 Key policy processes, forums and conferences

This Section summarises some of the key policy processes and forums that focus on or have implications for freshwater policy, as follows:
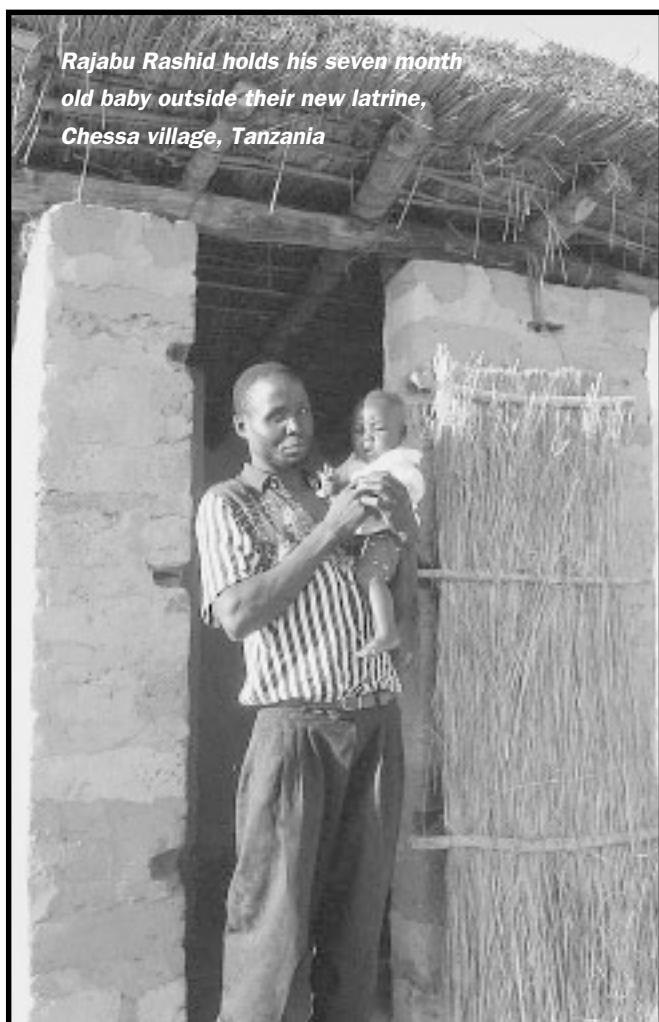
- World Water Forum
- WSSCC Global Forum
- International Conference on Freshwater, Bonn 2001
- Earth Summit 2002 and the UN CSD NGO Freshwater Caucus
- National Strategies for Sustainable Development (NSSDs)
- Poverty Reduction Strategy Papers (PRSPs)
- Global Water Forum.

5.2.1 World Water Forum[149]

The World Water Forum is organised every three years by the World Water Council (see Section 5.1.2). The 2nd Forum took place in The Hague in the Netherlands in March 2000, and the third Forum is scheduled for March 2003 in Japan.

The Second World Water Forum was intended to be "a pivotal event" where there would be the opportunity to *"address the challenges ahead of us and set down the conditions for a world in which everyone has access to clean water in 2025."* It was open to everyone, but particularly 'stakeholders' in water. The main stakeholder groups ('Major Groups') were NGOs, youth, women and business, although government representatives and Trade Unions were also present.

Running parallel to the last two days of the Forum was the Ministerial Conference, intended to generate political commitment to solving the world's water problems. At the end of the Conference the Ministers were to produce a declaration stating their commitments and agree to establish national water targets. Some participants expressed concern that although there were some positive outcomes from the Ministerial Conference, which will be fed into the UN Commission on Sustainable Development, there were no real commitments to change. In response to the Ministerial Declaration the four Major Groups (NGOs, women, youth and business) produced their

own declaration and made an oral statement to the Ministerial meeting.

In preparation for the 2nd World Water Forum, the World Water Council established the World Commission for Water, a working group whose mandate was to draw up a World Water Vision for Life and the Environment. Concern was expressed during the Forum that the process of defining the Vision was not very participatory and therefore lacked legitimacy. In contrast, the Vision 21 process, managed by the WSSCC for the production of a Vision for Water Supply and Sanitation, and also presented at the 2nd World Water Forum, was considered to be more participatory, with national and local level consultations taking place in a number of countries around the world.

The Global Water Partnership was given the task of preparing a Framework for Action, which would describe how the Vision could be implemented. A Framework for Action Unit was established in Paris, whose task is now to co-ordinate and monitor the implementation of the Vision.

Website: http://www.worldwaterforum.org

5.2.2   WSSCC Global Forum

The Global Forum is organised every three years by the Water Supply and Sanitation Collaborative Council (see Section 5.1.1). The Forum provides an opportunity for members of the WSSCC to meet and commission the Task Forces and Working Groups for the coming two years. The 5th Global Forum took place in Brazil in November 2000, with the theme: *'Vision 21 – Hygiene, Sanitation and Water for All'*. At this meeting, the Collaborative Council committed itself to the over-arching goal of poverty reduction, through the Iquacu Action Programme developed at the Forum. The Programme will cover: advocacy and communications, monitoring, regional/national and thematic networks, dissemination of knowledge, and gender.[150]

Website: http://www.wsscc.org./forum5

5.2.3   International Conference on Freshwater, Bonn 2001[151]

The International Conference on Freshwater will take place in December 2001 in Bonn, Germany, as a follow up to the Dublin Conference 10 years previously, in preparation for the Earth Summit 2002. The Conference will focus on a review of Agenda 21, Chapter 18, and the principal aims of the Conference are as follows:

■   Discussions on policy and strategy for a more integrated approach, including river-basin management issues

■   Cross-sectoral links, water-trade-agriculture and the link between UN conventions eg those on desertification, wetlands, and biological diversity

■   Case studies of best practice.

The preparation for the Conference is planned to be through a participatory and transparent process involving consultation with regional groups and major stakeholders, and close co-operation with relevant UN agencies and financial institutions such as the World Bank. An international Steering Committee has been set up to advise the host country; a national Organising Committee, made up of German institutions, is in charge of organisational matters; and the Conference Secretariat is provided by the German technical co-operation agency, GTZ. Involvement by NGOs in the Conference will be facilitated through the Freshwater Action Network.

For more information, contact the Secretariat at the address below or see the Earth Summit 2002 freshwater site:
http://www.earthsummit2002.org/freshwater

Secretariat of the International Conference on Freshwater
Tulpenfeld 7
53113 Bonn
Germany

Tel: +49 228-28046-55
Fax: +49 228-2846-60
Email: info@water-2001.de
Website: http://www.water-2201.de

5.2.4 Earth Summit 2002 and the UN CSD NGO Freshwater Caucus

Earth Summit 2002 is the third in the series of UN Conferences on Environment and Development, which began in 1992 in Rio. The Commission on Sustainable Development (CSD) was created at that time to support the implementation of Agenda 21, the plan for global action drawn up in Rio.

Key events for 2001-2002:

■ European Major Groups Conference (to prepare for Earth Summit 2002): Norway: 2001

■ CSD10: Preparatory Committee (Prepcom) for Rio+10

- Prepcom 1: UN, New York: 30 April – 2 May 2001

- Prepcom 2: UN, New York: 28 Janaury – 8 February 2002

- Prepcom 3: UN, New York: mid-March 2002

- Prepcom 4: Indonesia at Ministerial level: mid-May 2002

■ Earth Summit 2002: Johannesburg, South Africa: July / September 2002, entitled **World Summit on Sustainable Development**.

As described above in Section 5.1.3, the CSD NGO Steering Committee is responsible for co-ordinating NGO inputs to the annual CSD meetings and the Earth Summit. Regional and Issue Caucuses and Major Groups make recommendations to the Steering Committee. Issue Caucus members work together to prepare coalition NGO position papers and to lobby government delegates. The Caucus is also a place for members to network and share information and ideas about approaches to sustainable development. Each caucus member takes responsibility to disseminate relevant information as widely as possible.

Main Activities of Issue Caucuses:

■ Two day training before CSD

■ Caucus meetings during the period that the CSD is in session

■ Members communicate throughout the year via listserver

Organisations may contribute to a caucus by subscribing to the listserver. To be a voting member, however, NGOs (or other major groups) have to be "accredited" to the UNCSD.

The Freshwater Caucus has been dormant for some time, but the Freshwater Action Network (see section 5.3.5) and others are in the process of reactivating it, in light of the probable inclusion of freshwater as a key issue for the 2002 Earth Summit. The Caucus works as a network that communicates through the list-server to disseminate information and develop position papers. To join the list-server, email the FAN Co-ordinator Danielle Morley: daniellemorley@wateraid.org.uk; or join the Caucus directly on the internet: http://www.igc.org/csdngo.

For more information on the Earth Summit, contact: info@earthsummit2002.org.

Websites: http://www.earthsummit2002.org or http://www.earthsummit2002/freshwater

5.2.5 National Strategies for Sustainable Development (NSSDs)[152]

In 1997, the UN General Assembly Special Session agreed that each country should formulate and implement National Strategies for Sustainable Development (NSSDs). Each country should have these in place by 2002 and have begun to implement them by 2005. The main thrust of the NSSD is to integrate environmental issues into mainstream planning. NSSDs are also intended to put poor people at the centre and be owned at a local level. The UN Commission on Sustainable Development (CSD) has agreed that NSSDs should include commitments to national water management policies. Special assistance to help developing countries to meet this commitment has been given by some donor governments, such as the UK. To date only the UK and Canada have formulated a written NSSD, so it seems unlikely that the original target will be achieved.

(See CSD website for further information: http://www.un.org/esa/sustdev; copies of the NSSDs are also available on http://www.earthsummit 2002.org/es/nsds)

5.2.6 Poverty Reduction Strategy Papers (PRSPs)

Poverty Reduction Strategy Papers (PRSPs) are prepared by the member country in collaboration with staff of the World Bank and the International Monetary Fund (IMF) as well as civil society and development partners. These documents describe the country's macroeconomic, structural and social policies and programs to promote growth and reduce poverty, as well as associated external financing needs and major sources of financing.

5.2.7 Global Water Forum

The Water Forum is an on-line venue sponsored by the Global Water Partnership (see section 5.1.3) with funds from UNDP, and maintained by the Stockholm Environment Institute. The site offers a venue for international agencies, individuals, local communities, the private sector, academia, governments and NGOs wishing to exchange information and explore topical issues. It has links to various databases, libraries and other websites, offers discussion groups and provides networking facilities.

Website: http://www.gwpforum.org

5.3 Useful organisations and networks

This Section lists a number of organisations and networks working on freshwater issues, based in Europe:

- UK Water Network
- WEDC/WELL
- STREAMs of Knowledge
- Freshwater Action Network.

5.3.1 UK Water Network

The UK Water and Environmental Health Network is a discussion forum for practitioners and those interested in policy matters, which arose from a series of DFID-funded seminars organised by WEDC and WELL to assist NGOs to learn from their practice. A group of NGOs from among the Network members has formed the UK Water Network, with the aim of improving their advocacy impact on freshwater policy issues and increasing co-ordination. The following organisations are part of the Network, which is currently co-ordinated by WaterAid and Tearfund:

Intermediate Technology Development Group (ITDG)
The Schumacher Centre for Technology and Development
Bourton Hall
Bourton-on-Dunsmore
Rugby
Warwickshire
CV23 9QZ
UK

Tel: +44 (0) 1788 661100
Fax: +44 (0) 1788 661101
Email: itdg@itdg.org.uk
Website: http://www.oneworld.org/itdg

Tearfund
100 Church Road
Teddington
Middlesex
TW11 8QE
UK

Tel: +44 (0) 20 8977 9144
Fax: +44 (0) 20 8943 3594
Email: enquiry@tearfund.org
Website: http://www.tearfund.org

**United Nations Environment and
Development Forum (UNED Forum)**
C/o UNA
3 Whitehall Court
London SW1A 2EL
UK

Tel: +44 (0) 20 7839 1784
Fax: +44 (0) 20 7930 5893
Email: info@earthsummit2002.org
Website: http://
www.earthsummit2002.org/freshwater

World Wide Fund for Nature
Panda House
Weyside Park
Godalming
Surrey GU7 1XR
UK

Tel: +44(0) 1483 426 444
Fax: +44(0) 1483 426 409
Email: info@wwf.org.uk
Website: www.wwf.org.uk

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Tel: +44 (0) 20 7793 4500
Fax: +44 (0) 20 7793 4545
Email: information@wateraid.org.uk
Website: http://www.wateraid.org.uk

5.3.2   *WEDC*
Loughborough University
Leicestershire
LE11 3TU
UK

Tel: +44 (0) 1509 222885
Fax: +44 (0) 1509 211079
Email: WEDC@boro.ac.uk
Website: http://www.lboro.ac.uk/wedc

The Water, Engineering and Development Centre (WEDC) at Loughborough University focuses on planning, provision and management of physical infrastructure for development in low- and middle-income countries. Key areas of work include: groundwater development; low-cost sanitation; wastewater; water resources and irrigation; and water supply. Conferences are held every year in either Africa or Asia. It has an email list which individuals and organisations can join to receive regular information about current and future activities (see website for details of how to join the list).

WELL
Together with the London School of Hygiene and Tropical Medicine (LSHTM), WEDC runs WELL, Water and Environmental Health at London and Loughborough, a resource centre promoting environmental health and well-being in developing and transitional countries, funded by the UK Department for International Development. WELL's core activities include technical support to DFID; development of technical manuals and guidance notes; and technical assistance to representatives of developing countries, UN agencies and UK NGOs. A document service is also available.

The WELL website includes a services page with a technical assistance facility offering free advice to NGOs; technical briefs; and a library catalogue.

WELL can be contacted via the website: www.lboro.ac.uk/well/index.htm or through WEDC (see address above) or LSHTM:

**London School of Hygiene
and Tropical Medicine
Keppel Street
London WC1E 7HT
UK**

Tel: +44 (0) 20 7927 2214
Fax: +44 (0) 20 7636 7843
Email: WELL@lshtm.ac.uk

5.3.4   STREAMs of Knowledge
**PO Box 2896
2601 Delft
The Netherlands**

Tel: +31 15 219 2942
Website: http://www.irc.nl/stream

STREAMS of Knowledge is a global coalition of resource centres for capacity building in the water and sanitation sector, and was officially launched at the 2nd World Water Forum in the Hague in March 2000. Based at the International Water and Sanitation Centre (IRC) in the Netherlands, STREAM plans to be a global coalition of resource centres on freshwater issues, linking them together and facilitating access to information and capacity building.

5.3.5   Freshwater Action Network

In response to a demand from NGOs at the 2nd World Water Forum and elsewhere, a Freshwater Action Network is being developed to support the implementation of the UN Millennium Assembly target to halve the number of people unable to reach or afford drinking water by 2015 and to stop the unsustainable exploitation of water resources.

The Network aims to

- Increase NGO participation in policy making and to support NGO advocacy around freshwater issues
- Support cross-sectoral integration of policy and advocacy work on freshwater among NGOs
- Improve water policy and campaigning co-operation between NGOs of differing perspectives, priorities and skills.

The Network will provide timely updates on emerging international policy issues and opportunities for participation, particularly in relation to the Bonn 2001 International Freshwater

Conference and the 2002 Earth Summit. It aims to bring together the following key sectors:

- Water supply and sanitation
- Food security – sustainable agriculture
- Ecosystem conservation/restoration
- Dams and hydropower
- Ground water
- Floods and droughts
- Pollution

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5.4 Further reading[153]

This Section lists some publications and reports on advocacy and related topics which readers may find useful for further reading.

- Entries marked [*] are taken from the annotated bibliography prepared by Dr Alan Hudson for the BOND Guidance Notes No. 6 and the BOND Advocacy Training Notes.
- Entries marked [+] are taken from the annotated bibliography prepared by Dr Alan Hudson that is available on his website: http://www.alanhudson.plus.com.

The references are presented under the following headings:

- Advocacy guides and training materials
- NGOs and advocacy
- NGOs and legitimacy
- Campaigning and lobbying
- Research, monitoring and evaluation.

Advocacy guides and training materials

Many international NGOs have produced their own advocacy guides or training manuals, most of which focus on general advocacy:

Atkins, A. and Gordon, G., 1999. *Advocacy Study Pack* **Tearfund Case Study Series, Tearfund, UK**
Tearfund's introduction to advocacy, including the organisation's Christian-based rationale for involvement in advocacy work.

BOND, 1999. *Introducing Advocacy* **BOND Guidance Notes Nos.1–6, London**
Notes produced by BOND following their training course on advocacy. An accessible introduction to some of the key questions and issues to consider when planning advocacy.

Global Women in Politics: The Asia Foundation, and Center for Legislative Development, 1997. *Perspectives on Advocacy, Participation and Social Change* **Report of the Asia-Pacific Regional Advocacy Training of Trainers, Subic, Philippines.**
Comprehensive workshop report from an advocacy training session, with many useful exercises and explanations. Focus on general advocacy for women, including citizen participation and community mobilisation. Some overlap with Miller and Covey 1997, and with Veneklasen 1997, as

Valerie Miller and Lisa Veneklasen were two of the facilitators.

Green, J. and Melot, S., 2001b. *Water and Advocacy, A Practical Guide*, **Tearfund, UK.**
Forthcoming advocacy guide focusing on water. Includes a discussion the water crisis, regional water issues and case studies of water advocacy. Practical steps for advocacy planning are covered by Tearfund's earlier, more general, guide (Atkins and Gordon, 1999).

Miller, V. and Covey, J., 1997. *Advocacy Sourcebook: Frameworks for Planning, Action and Reflection* **Institute for Development Research (IDR), USA.**
Comprehensive and thorough guide to planning advocacy. General focus including citizen participation and community mobilisation.

NCAS/Christian Aid, 1999. Advocacy Workshop June 6–12, 1999. SEARCH Training Centre, Bangalore.
Report of advocacy training workshop carried out in India. Contains useful background information on the Indian bureaucracy, judiciary and legislative system.

Oxfam, 1994. *Guide to Advocacy Planning: Oxfam UK/Ire Campaign*, **June 1995–2000 Policy Department, Oxfam, UK.**
Oxfam's guide to advocacy planning, in the context of the organisation's internationally agreed campaign issues. General advocacy planning guidelines followed by details on particular advocacy targets and related activities.

Sharma, R.R., no date. *An Introduction to Advocacy: Training Guide* **Support for Analysis and Research in Africa (SARA) and Health and Human Resources Analysis for Africa (HHRRA), USAID Office of Sustainable Development, USA.**
General advocacy guide with useful training exercises.

Veneklasen, L., (draft, unpublished). *The Action Guide for Advocacy and Citizen Participation* **Global Women in Politics, Washington DC.**
Draft of forthcoming general advocacy guide, which builds on the Global Women in Politics 1997 workshop.

NGOs and advocacy

*Clark, J., 1992. *Policy influence, lobbying and advocacy* in: Edwards, M. and Hulme, D., Making a Difference: NGOs and development in a changing world Earthscan, London.

Some history and background to advocacy campaigns, successes, failures, strengths and weaknesses.

*Edwards, M., 1993. *Does the doormat influence the boot?: critical thoughts on UK NGOs and international advocacy* Development in Practice Vol.3, pp163–175.

Excellent discussion on UK NGOs and international advocacy, forms of advocacy, problems and possibilities.

*Edwards, M. and Hulme, D., 1992. Making a Difference: NGOs and Development in a Changing World Save the Children and Earthscan, London.

Papers from the first major UK NGOs conference – useful background about the 'New Policy Agenda', 'scaling up' and the beginnings of a shift towards advocacy.

*Edwards, M. and Hulme, D., 1995. Non-governmental organisations – performance and accountability: beyond the magic bullet (eds) Save the Children and Earthscan, London.

Papers from the second major UK NGOs conference – useful discussions of evaluating effectiveness.

+ Fowler, A., 1997. Striking a balance: a guide to enhancing the effectiveness of non-governmental organisations in international development Earthscan, London.

Excellent book dealing with a whole range of NGO activities. Very user-friendly and addressed to NGO practitioners. Includes sections on North-South relations, and advocacy.

*Keck, M. and Sikkink, K., 1998. Activists beyond borders: Advocacy networks in international politics Cornell University Press, London.

Detailed analysis of transnational advocacy networks, particularly in relation to human rights.

+ Malena, C., 1995. 'Relations between Northern and Southern NGOs' Canadian Journal of Development Studies Vol.16, pp7–30.

Interesting review of the issues facing Northern and Southern NGOs trying to develop partnerships.

*Nelson, P., 1996. 'Internationalizing economic and environmental policy: Transnational NGO networks and the World Bank's expanding influence' Millenium Vol.25.

Useful discussion of the impact of NGO advocacy to the World Bank, and its unintended consequences in expanding the remit of the World Bank.

+ Taylor, M., 1999. 'Influencing policy: a UK voluntary sector perspective' in: D. Lewis (ed) International perspectives on voluntary action: reshaping the third sector, Earthscan, London.

Up-to-date chapter on advocacy in terms of the UK voluntary sector.

*World Vision, 1997. Transnational NGOs and advocacy Discussion Paper No. 5, World Vision, UK.

Special issue providing background to international NGOs and advocacy – short collection of brief papers.

NGOs and legitimacy

*Cleary, S., 1995. 'In whose interest? NGO advocacy campaigns and the poorest: An exploration of two Indonesian examples' International Relations Vol.12, pp9–35.

Useful critique of NGO advocacy with case studies.

Hudson, A., 2001. 'Making the connection: legitimacy claims, legitimacy chains and northern NGOs international advocacy' in: D. Lewis and T. Wallace (eds) After The 'New Policy Agenda'? Non-governmental organisations and the search for development alternatives Kumerian Press.

Useful discussion of the need and opportunities for establishing NGO legitimacy in advocacy work.

*Nelson, P., 1997. 'Conflict, legitimacy and effectiveness: who speaks for whom in transnational NGO networks lobbying the World Bank?' Non-Profit and Voluntary Sector Quarterly Vol.26, pp421–41.

Useful discussion about legitimacy and impact of NGO networks lobbying the World Bank.

Nyamugasira, W., 1998. 'NGOs and advocacy: how well are the poor represented?' Development in Practice Vol. 8, pp297–308.

Critique of NGOs advocacy in relation to issues of legitimacy.

Campaigning and lobbying

Chapman, J. and Fisher, T., 1999. Effective NGO Campaigning New Economics Foundation, London.

A useful discussion of NGOs' experiences in campaigning, focusing on two particular examples but drawing more general conclusions based on a wide literature review.

Oxfam, 1994. Guide to Advocacy Planning: Oxfam UK/Ire Campaign, June 1995-2000 Policy Department, Oxfam, UK.

Oxfam's guide to advocacy planning, in the context of the internationally agreed campaign issues. General advocacy planning guidelines followed by details on particular advocacy targets and related activities.

[*]Wilkinson, M., 1996. 'Lobbying for fair trade: Northern NGOs, the European Community and the GATT Uruguay Round' Third World Quarterly Vol.17, pp251–267.

Case study of the processes of lobbying, issues and problems.

Research, monitoring and evaluation

[+] Baranyi, S., Kibble, S., Kohen, A. and O'Neill, K, 1997. Making solidarity effective: Northern voluntary organisations, policy advocacy and the promotion of peace in Angola and East Timor Catholic Institute for International Relations, London.

One of the few efforts to grapple with effectiveness, in terms of the relative/comparative effectiveness of different campaigns.

BOND, 1999. Introducing Advocacy: monitoring and evaluating advocacy BOND Guidance Notes No.6, London.

Summary of some of the key issues and points to consider when planning monitoring and evaluation of advocacy work.

[*]Fowler, A., 1995. Participatory self-assessment of NGO capacity INTRAC Occasional Papers Vol.10.

User-friendly guide to evaluation. Contains some useful conceptual frameworks and ideas about indicators.

[*]Fowler, A., 1996. 'Demonstrating NGO performance: problems and possibilities' Development in Practice Vol.5 pp58–65.

Discussion of some of the problems faced by NGOs in evaluating performance – multiple stakeholders, no bottom line, etc.

Nichols, P., 1991. Social survey methods: a field guide for development workers Development Guidelines No. 6, Oxfam, UK.

Companion volume to Pratt and Loizos (below), focusing on surveys: describes in detail the steps involved in planning and conducting a social survey.

Pratt, B. and Loizos, P., 1992. Choosing research methods: data collection for development workers Development Guidelines No.7, Oxfam, UK.

Very useful guide for planning research; details the different methods with their advantages and disadvantages.

Roche, C., 1999. Impact Assessment for Development Agencies: learning to value change Oxfam Development Guidelines, Oxfam and Novib, UK.

Comprehensive and thorough discussion of impact assessment. Includes a chapter devoted to advocacy impact assessment, which builds on Roche and Bush 1997 and discusses various approaches, constraints and key considerations for assessing advocacy impact.

Roche, C. and Bush, A., 1997. 'Assessing the impact of advocacy work' Appropriate Technology Vol. 24, No. 2.

Useful article on impact assessment for advocacy work.

Rubin, F., 1995. A basic guide to evaluation for development workers Skills and Practice Series, Oxfam, UK.

Helpful and accessible guide to evaluation.

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Appendix 2   PRA tools for monitoring and evaluating advocacy work[154]

The following tools, from the participatory collection known as PRA (Participatory Rural Appraisal) or PLA (Participatory Learning and Action) may be useful in assessing the impact of advocacy initiatives in a participatory manner, with beneficiaries, advocacy staff or other stakeholders.

Time lines

Time lines enable advocacy teams to consider the progress of an advocacy initiative over time, which may be particularly useful given the fact that policy change often occurs over a long period. Key dates and events are noted in sequence on a sheet of paper. These events can include advocacy activities and external events that had an impact on the work. Into a second column alongside the first may be noted the outcomes or effects of the activities on the advocacy target.

Ranking

There is a range of ranking methods within the PRA collection of tools, many of which can be useful in understanding the impact of advocacy initiatives. Ranking basically involves giving an order to a list of activities. For instance, different advocacy approaches and strategies can be ranked for their effectiveness in achieving their objective, as in the following example:

Rank	Activity	Objective	Comment
1	Radio broadcast	Raise public and media awareness on issue	Good timing of broadcast, positive impact according to broadcasters' survey
2	Public meeting with Minister	Gain commitment from Minister to policy change	Public meeting effective mechanism for influencing Minister
3	Newsletter	Raise public awareness on issue	Poor quality, poor distribution, therefore not widely read

A similar ranking exercise can be carried out to analyse the impact of advocacy activities. The group lists all the positive and negative impacts of the activity onto cards or pieces of paper, which are then ranked according to their importance, and discussed. This exercise can be undertaken both by advocacy teams and also by grassroots communities who are the supposed beneficiaries of an advocacy initiative, to assess the impact of the activity on their lives.

Venn diagrams

Venn diagrams are used to understand the importance of various institutions and the relationships between them. They can be drawn on paper, or – like many PRA tools – made using local materials as symbols. The exercise usually starts with the respondents drawing the key institutions on the paper as circles, varying the size of the circle to denote the institution's importance to them; and positioning the circles relative to each other on the paper to show the distance or closeness of the relationship. The diagram can be extended to cover changes over time, by adding circles in a different colour to denote the situation at a previous time, for example, 5 years ago.

'Given that advocacy is fundamentally about seeking to influence relationships of power and changing the ability of people living in poverty to influence decisions that affect their lives, tools that facilitate discussions about changes in relationships will be particularly useful. The use of Venn diagrams may be appropriate in the following situations:

- In assessing changes in the ability of groups of organisations to influence different institutions.
- In assessing the changes in links and coalitions between those carrying out advocacy work on similar or related issues.
- In mapping changing relationships between actors in the policy-making process, for example in assessing their relative influence on or proximity to decision-makers.'[155]

Impact flow charts

Flow charts depict the flow or direction of a particular activity or process. They typically start with an event, action or problem, and then explore the consequences. This is usually done by asking 'what happened next?', what did this lead to?', or 'what effects did this have?' The results are drawn on a sheet of paper, with arrows leading from one event or action to the consequences.

Impact flow charts are useful for indicating the impact of a given intervention, policy change or event, and for documenting changes over time. They can also help in identifying the potential impact of future policy change, as well as in the analysis of past policy changes.

Trend analysis/time trend

Trend analysis or time trends depict changes over time relating to particular criteria, for example access to decision-making. Each year or alternate year over the selected period is given a score, so that trends can be analysed. An example of a trend analysis from Demon village, northern Ghana is given below[156]:

In assessing the impact of advocacy initiatives, trend analysis can provide a simple way of understanding relative change in people's lives over time, which can then be linked to particular policy changes. In addition, a better of understanding of relative levels of change over time should help determine whether policy changes actually make a difference to existing trends.

Further information on PRA/PLA techniques is available from the Institute of Development Studies 'Participation' website:www.ids.ac.uk/ids/particip, or from the Institute for Environment and Development (IIED), which publishes PLA Notes (formerly RRA Notes), contact: subscriptions@iied.org, or IIED, 3 Endsleigh Street, London WC1H 0DD, or see the website: www.iied.org

1989	1991	1993	1995	1997	Issues
10	8	6	4	1	Water
1	4	2	4	10	Health
10	4	1	1	1	Food security
10	8	1	2	8	Peace
3	4	6	6	10	Rainstorm
10	6	1	1	2	Income
10	8	1	2	5	Sheanut processing
10	5	1	5	2	Fishing
10	6	1	2	3	Livestock
2	2	1	7	10	External interventions

Key: 10 = good, 1 = poor

Appendix 3   Notes

1   WaterAid 2000a

2   BOND 1999a

3   Global Women in Politics 1997, p9

4   Veneklasen 1997

5   WaterAid 2000e

6   Based on Chapman and Fisher 1999

7   WaterAid 2000a

8   For further details of WaterAid's rationale for involvement in advocacy work, see WaterAid 2000e.

9   Significant water stress defined as withdrawals greater than 20% of the available freshwater resources in a country.

10   DFID 2001, p11-12

11   Global Water Partnership 2000

12   Global Water Partnership 2000

13   These issues are taken from Green 2000b, DFID 2001, Global Water Partnership 2000, WaterAid Madagascar 2000, WaterAid Tanzania 2000, and WaterAid Zambia 2000

14   DFID 2001, p19

15   Hudson 2000

16   ibid.

17   Miller and Covey 1997

18   Roche and Bush 1997

19   Other bases for legitimacy include: basic rights and values; organisational structure; alliances and networks; knowledge and research (Chapman and Fisher 1999).

20   WaterAid 2000d: Group 1 feedback

21   Global Women in Politics 1997, p9.

22   NCAS/Christian Aid 1999

23   Len Abrams, personal. communication

24   Gaventa 1997

25   NCAS/Christian Aid 1999. This exercise was designed by Joseanthony Joseph of NCAS.

26   Chapman and Fisher 1999

27   Hulme and Edwards 1997

28   Atkins and Gordon 1999

29   For example, in Ethiopia, village members from the WaterAid-supported Hitosa Water Project assisted members of another village, Robe-Maliyu, to lobby their local government to win approval for their own water supply project.

30   We need to distinguish between raising topics that may be considered by some stakeholders to be unpopular on the one hand, and violent direct action (ie confrontation) on the other.

31   Venerklasen (draft)

32   These criteria were identified through a process of consultation, comprising a staff survey, discussions with Country Programme staff as part of an advocacy audit, advocacy audit questionnaires, discussions between various departments within WaterAid, and preliminary research of issues at the global level.

33   WaterAid 2000e

34   Chapman and Fisher 1999

35   Edwards and Hulme 1992, p211

36   SCF 2000, p16

37   Miller and Covey 1997

38   Edwards and Hulme 1992, p22

39   Trace 1999

40   WaterAid 2000b and Nyamugasira 2000

41   Sharma, no date

42   SCF 2000

43   Abrams 2000

44   Chapman and Fisher 1999

45   ibid.

46   Nick Burn, personal communications.

47   WaterAid 2000f

48   SCF 2000, p41

49   This information is taken from an internal WaterAid memorandum by Belinda Calaguas and Esther Monier-Illouz on the Concept Proposal for the WAPA Working Group (WaterAid/pS-Eau/ACDE Working Group on Water and Sanitation World Bank Project), 18 July, 2000.

50   See Pratt and Loizos 1992, and Nichols 1991, for further information.

51 Vision 21 Nepal, 2000

52 WaterAid 2000d

53 Allies are discussed in the following section, Section 2.6.

54 SCF 2000

55 Ockleford 2000

56 ibid.

57 SCF 2000, p 29.

58 Based on an interview with Mr. Yunusu Rugeiyamu, Regional Water Engineer, Dodoma Region, 15.11.00.

59 Dave Mather, personal communications, Nov 2000

60 Chapman and Fisher 1999, p10

61 SCF 2000

62 Sharma no date, p88

63 Chapman and Fisher 1999

64 Based on NCAS/Christian Aid 1999

65 Sharma, no date, p 91-92

66 Taken from the draft paper *Freshwater Action Network (International Freshwater Advocacy Network) Aims and Functions,* WaterAid 2000. Further information on the Network is given in Section 5.3.5 below.

67 Based on interview with Peter Chando, champion of PEVODE and Tim Ndezi, WaterAid Dar es Salaam Programme Manager.

68 SCF 2000, p32

69 NCAS/Christian Aid

70 ibid.

71 Joanne Green, personal communication

72 WaterAid Bangladesh, no date

73 Miller and Covey 1997

74 Chapman and Fisher 1999

75 Such insider approaches work best in a 'highly participative political culture' and so may not be possible or appropriate in some countries (Chapman and Fisher 1999).

76 Clark 2000 in Making Waves: civil society advocacy on international water policy, WaterAid 2001

77 WaterAid 2000e

78 SCF 2000, p47

79 Based on SCF 2000, p41

80 Nick Burn personal communication

81 Swiss Agency for Development and Co-operation, UNDP Water and Sanitation Program, and WaterAid.

82 UNDP Water and Sanitation Program 1997, and Matin 1999

83 Hassan and Alimuddin 2000

84 Munguia and Gordon, 2000

85 Based on WaterAid Uganda 2000 and WaterAid Uganda 1999b

86 BOND 2000

87 IPPF 1995

88 Paramasivan 2000

89 Green and Melot, 200l

90 SCF 2000, p48

91 BOND 2000, based on Holland 1998

92 Advocacy Institute, 1990, p30

93 Gunyon 1998, and Shunmuga Paramasivan (WaterAid India Country Representative), personal communication

94 Friends of the Earth 2000

95 Based on Sharma no date, p100 and BOND 2000

96 Based on Global Women in Politics 1997, p51 and SCF 2000, p50.

97 Based on Global Women in Politics 1997, p51.

98 From Green and Melot, 2001

99 SCF 2000, p46.

100 BOND 2000

101 Partly based on IPPF 1995

102 Burke 1999

103 '*Between 1965 and 1991 there was a 400% increase in TVs in developing countries – from 38.8 per 1000 people to 185 per thousand*' (Burke 1999).

104 '*There were only 29.8 TVs per 1000 people in sub-Saharan Africa (excluding South Africa)*' (ibid.).

105 Ibid.

106 Burke, op. cit.

107 For example '*there are an estimated 94 radios per thousand people in the least developed countries, ten times the number of televisions*' (ibid.).

108 Oxfam 1994, used with permission

109 Ibid.

110 From Oxfam 1994, used with permission

111 This Section is based largely on Roche and Bush 1997 and Roche 1999. Specific quotations are referenced directly in the text. Readers are referred to these two publications for a more detailed discussion of this topic.

112 Roche and Bush 1997

113 Roche 1999, p202

114 op. cit. p210

115 op. cit. p210

116 op. cit. p202

117 WaterAid 2000a

118 Roche 1999, p216-230. See Appendix 1 for more details on these techniques.

119 WaterAid 2000e

120 Rick Davies, quoted in Roche 1999

121 Sharma, no date, p115

122 Atkins and Gordon 1999, p47

123 These advocacy objectives are not as specific and time-bound as Section 2.4 demands. Nevertheless, they provide a useful example of a real advocacy action plan.

124 The reference number of the activity from the Action Plan.

125 SCF 2000 p65

126 Roche 1999, based on *'Fundamental Review of Strategic Intent'*, Oxfam GB 1998

127 WaterAid 2000e

128 Chapman and Fisher 1999

129 BOND 2000

130 WaterAid 2000e

131 WaterAid 2000e

132 With the exception of the section on water policy making which is taken from WaterAid 2000b, this case study is based on an interview with Amsalu Negussie, WaterAid Uganda Country Representative, 18.11.00

133 WaterAid Uganda 1999a

134 A transitional arrangement of nine member countries including Uganda, which was launched in February 1999. The Secretariat is located in Entebbe, Uganda.

135 WaterAid Uganda 2000

136 WaterAid Uganda also represents other NGOs at an informal donors group, chaired by Danida, which advises the Ugandan Government and contributes to the policy debate with the World Bank.

137 Based on an interview with Nick Burn, Regional Manager for West and Southern Africa, WaterAid, 10.11.00.

138 From WaterAid 2000c

139 With the exception of the section on water and sanitation policy, this case study is based on an interview with Nick Burn, Regional Manager for West and Southern Africa, WaterAid, 10.11.00

140 Clayton 1999

141 Condensed from Clayton 1999

142 Bannerman 1996

143 As long as they have a hand pump on them.

144 Amankwah 1995

145 Based on Gunyon 1998 and Shunmuga Paramasivan (WaterAid India Country Representative) personal communicatons

146 Based on an interview with Nick Burn, Regional Manager for West and Southern Africa, WaterAid, 10.11.00.

147 Unfortunately it has not been possible to obtain full background information on water policy processes in Zimbabwe for inclusion here.

148 Most of this information is taken from Skelton 2000 and Turner 2000, with supplementary material obtained from the organisations' websites.

149 Green 2000a and 2001

150 Turner 2000

151 Turner 2000

152 Green 2000a

153 A full list of the documents referred to in the text is given in the Bibliography Section.

154 From Roche 1999

155 Roche 1999, p228

156 ibid., p146