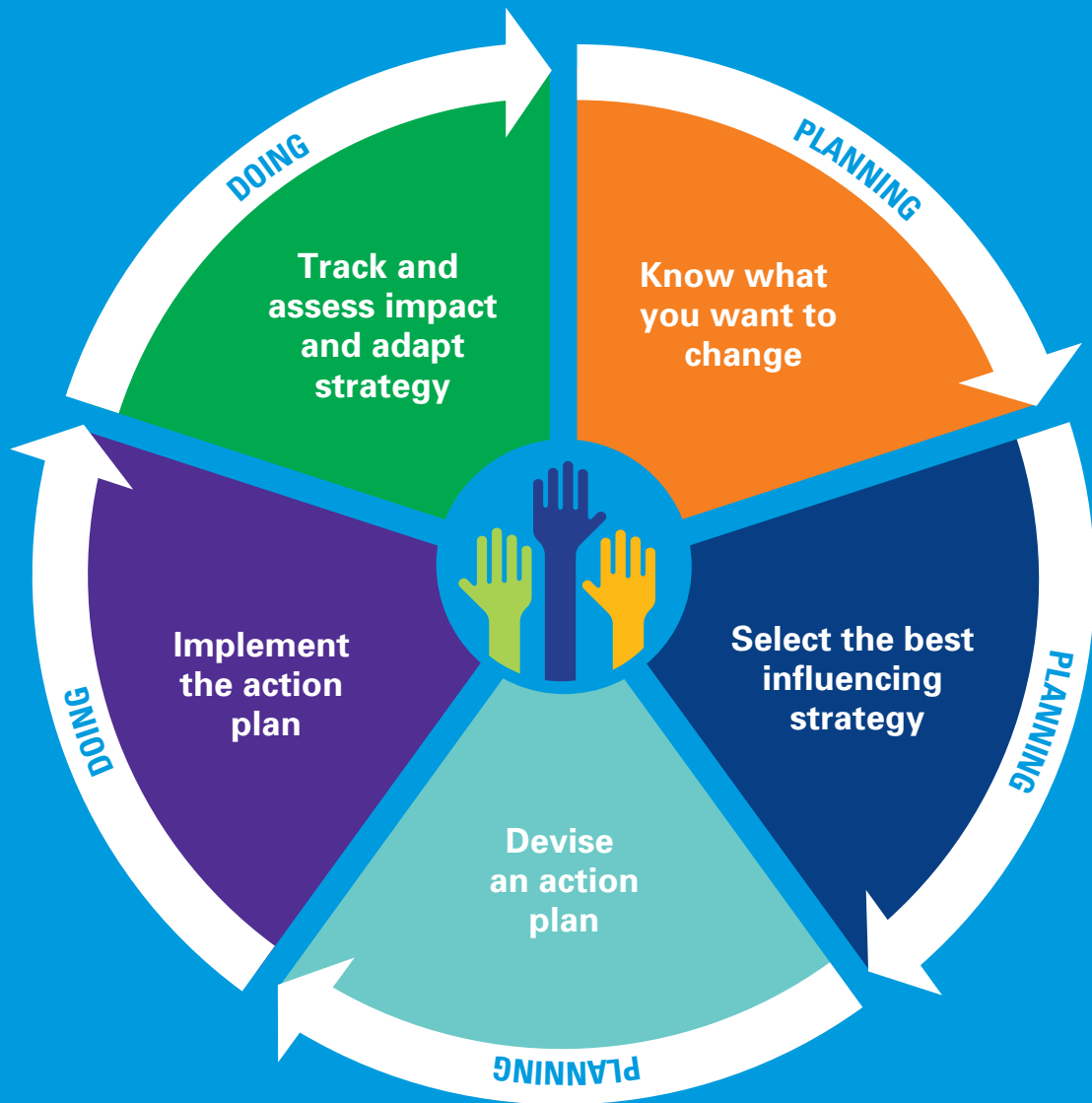


CITIZEN MONITORING & ADVOCACY

Step-by-step guide to
developing your strategy



INTRODUCTION

This guide lays out Trócaire's approach to citizen monitoring & advocacy. It takes a step-by-step approach to planning and developing a monitoring and advocacy strategy based upon Trócaire's citizen led approach. The Guide draws on resources developed by Ian Chandler and The Pressure Group (www.thepressuregroup.org).

The guide is designed for use by Trócaire staff and partners in developing a strategy within programme design. However, the steps and activities can be used directly by any group or individual planning monitoring and advocacy work, including by partners supporting communities engaging in monitoring and advocacy initiatives.

For Trócaire, Citizen Monitoring and Advocacy (CMA), refers to the actions taken by groups of organised citizens at any level to monitor and advocate for change in state and non-state institutional policies and practices, in order to realise their rights and entitlements and hold duty-bearers to account.

There are three interlinked spheres of intervention in Trócaire's approach to CMA. For more information, including definitions of key terms, see *Trócaire's CMA Framework* on Box.

Enabling: citizens know their rights and entitlements, grow the knowledge, skills and confidence to conduct monitoring and advocacy activities safely and effectively, and embark upon a CMA process.

Monitoring: citizens collect and/or generate the information and evidence needed to analyse a problem, develop recommendations for change, and identify power holders and duty bearers; and monitor the implementation or impacts of a policy, budget or law in practice; and

Advocacy: citizens influence and hold to account those who have the power to effect the desired change, whether through collaboration, persuasion or constructive confrontation.

What is citizen monitoring & advocacy about?

- Amplifying peoples' voices about the issues that affect them
- Building evidence on what needs to change and how that change can happen
- Generating positive change in society towards greater social justice and equality
- Influencing people with power and changing how they think and act

There are many different types of citizen monitoring and advocacy projects. Each project – large or small – will involve different combinations of **enabling, monitoring** and **advocacy** activities to ensure citizens are able to effectively engage and drive the process. The key to a successful CMA initiative is to develop a tailored monitoring and advocacy strategy. Taking a structured, step-by-step approach to planning, implementing, and tracking and assessing the impact of monitoring and advocacy work, ensures that resources are committed strategically and with a greater chance of achieving the change we want.



Tool 1 – Advocacy Strategy Outline

Three levels of monitoring & advocacy: ‘by’, ‘with’ and ‘for’

Trócaire’s approach where possible is to support citizen monitoring and advocacy *by* those citizens who are the intended beneficiaries of the initiative. However, some monitoring and advocacy can also be done ‘with’ citizens and ‘for’ citizens where this is necessary for reasons of security or strategy. It is therefore helpful to think of these levels as ‘by’, ‘with’ and ‘for’. The best approach/combination will depend on the individual context and analysis of the problem, and the aims and objectives.

- **Monitoring & Advocacy ‘for’:** is monitoring and advocacy done on behalf of people most affected by an issue who may not be in a position to engage directly themselves (for example due to unacceptable risks, time constraints or lack of access)
- **Monitoring & Advocacy ‘with’:** is monitoring and advocacy conducted through working together with those who are impacted by the issue
- **Monitoring & Advocacy ‘by’:** is monitoring and advocacy led and done by those who are impacted by the issue. The focus is on supporting people affected by an issue to conduct their own monitoring and advocacy

This guide is structured as follows:

- **Phases 1-3** of the guide cover the planning phase. Following each step will result in outputs that establish a citizen monitoring and advocacy strategy. A monitoring and advocacy strategy defines what policies and practices we want to see monitored and changed, how we want them to change, and the approaches needed to achieve our desired change. It is a roadmap for how we will carry out our monitoring and advocacy work
- **Phase 4** of this guide gives guidance on implementation, covering the range of approaches to citizen monitoring and advocacy. It includes useful tools and techniques which have been developed by Trócaire and its partners to support community monitoring and analysis of service delivery, budgets, policies and practices
- **Phase 5** of the guide covers how to keep track of progress, assess impact and amend strategy based on learning

The guide is laid out for in-depth use with tools and activities at each step. Detailed guidance for the main tools are provided in the accompanying Tools Booklet, *Citizen Monitoring & Advocacy: Tools for developing your strategy*. However, it can also be used more lightly, with the five steps representing a checklist of key elements when planning more rapid response advocacy.

Additional tools, case studies, training materials and ideas for further reading – including those referred to in the text but not contained in the Tools Booklet – are available in the *CMA resources folder* on Trócaire’s Box system.



Note:

Throughout the text reference is made to tools included in the Trócaire Citizen Monitoring and Advocacy: Tools for developing your strategy, booklet that accompanies this guide.

Why is a strategy for citizen monitoring & advocacy important?

- It clarifies what you want to achieve and how you will get there
- It allocates resources and responsibilities, including time, staff and funding
- It ensures accountability to, and participation by, allies, communities and donors
- It enables you to think ahead and prepare for problems and opportunities that may arise
- It helps us understand risks and assumptions
- It provides a benchmark to measure performance and progress against

Common pitfalls to avoid:

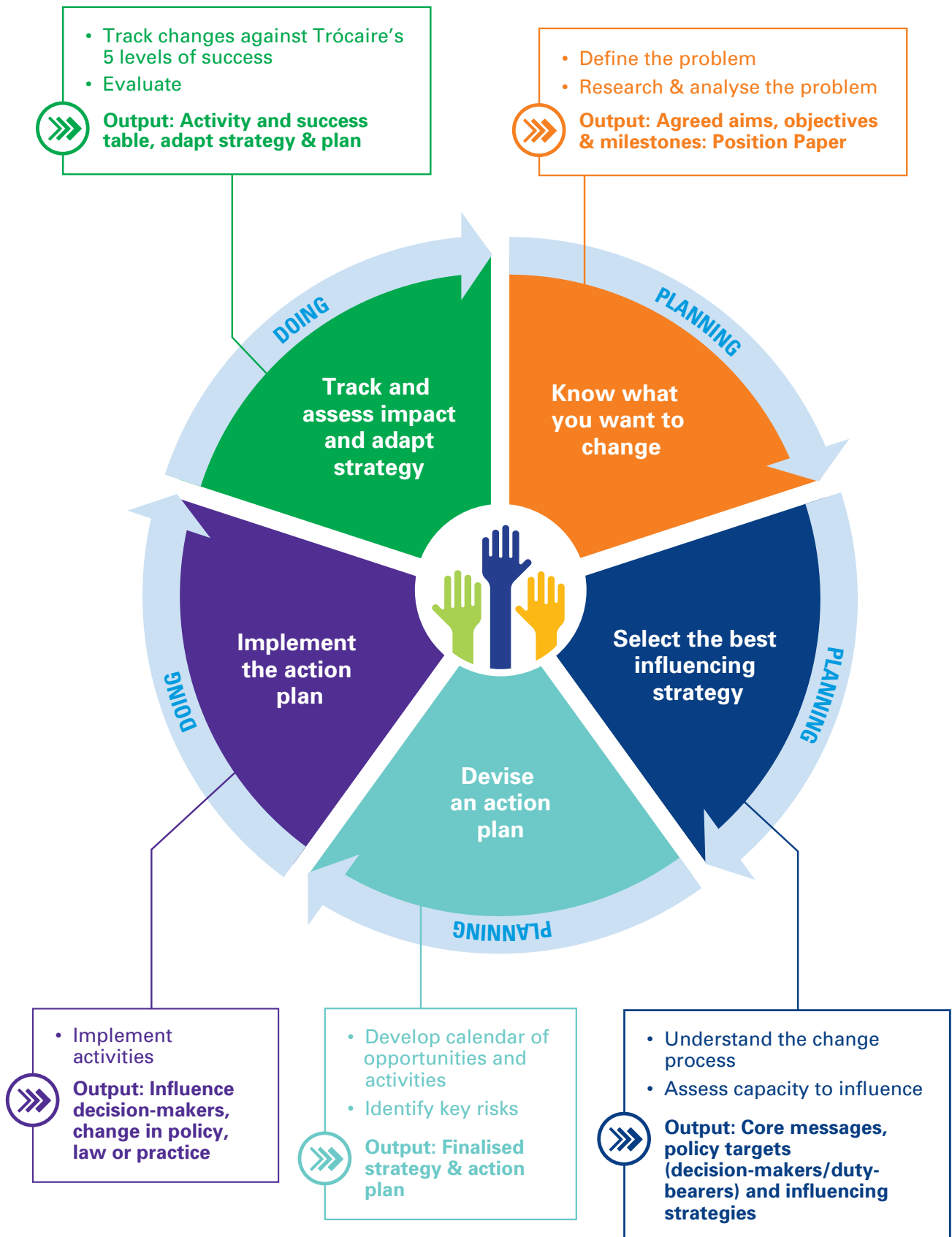
- Lack of focus – trying to tackle too many issues or objectives than resources allow
- Unclear aims or objectives (“if you don’t know where you are going, any road will take you there”)
- Activity planning without developing an influencing strategy
- Failure to be innovative, relying on whatever was done before
- Making assumptions
- Vague or bland messages
- Poor tracking and assessing of impact (and regular updating of strategy)
- Going it alone (or duplicating)



Note:

Even if not directly involved in some CMA activities, it is critical that citizens are involved in all decision-making processes, have access to accurate and timely information on the initiative, and that approaches reflect their analysis and priorities.

Monitoring and advocacy cycle



PHASE 1: KNOW WHAT YOU WANT TO CHANGE

This phase establishes why we engage in citizen monitoring and advocacy. We engage in monitoring and advocacy to change people's lives: the aim of a CMA strategy should clearly articulate how a particular group of people's lives will be changed if the monitoring and advocacy is successful.



This phase involves three distinct steps:

1. Identifying the problem you want to address



2. Researching and analysing the problem



3. Agreeing your policy position and selecting your advocacy aims and objectives



Key output: Agree advocacy aims, objectives and milestones: position paper

Step 1: Identify the problem you want to address through your monitoring and advocacy



Tool 2 – Issue selection criteria

For Trócaire, the programme objective is the starting point for identifying the issues that monitoring and advocacy will address. Potential monitoring and advocacy issues can arise from:

- Views of programme participants and partner organisations
- Trócaire's own programme experience
- Opportunities in the external policy and media environment
- Views of staff, volunteers & supporters
- Priorities of funders



Note:

The foundation for any successful monitoring and advocacy initiative is to know exactly what it is that you want to change. Clear, specific objectives shape your choice of strategies and messages.

There may be multiple potential problems that can be addressed through monitoring and advocacy. It is important to consider the following criteria when selecting the problem you want to focus on:

Relevance of the problem

- Is this a problem that has been raised by programme participants and partner organisations?
- Will addressing this problem contribute to achieving the programme objective?
- Does it fall within the agreed areas of work identified in Trócaire's current Strategic Plan or Country Strategy?

Importance of the Problem

- What is the scale and severity of the problem? Is it local, regional, national, international? What is the impact on people and communities?

Potential for change

- Is there a specific and achievable aim? Does Trócaire (either alone or in coalitions), or its partners, have access to the decision-makers who can influence change on this issue? Can you visualise a path to the change you want to see?

Empowering for those involved

- How will the selected issue enable programme participants to be involved? Have you considered how much addressing this problem will involve monitoring and advocacy by, with and for the citizens who are most affected by the issue?

Who else is working on it?

- Is the issue a gap that no-one else is working on that needs to be filled? Is it an issue that others are working on where there is a good opportunity for working in coalition to achieve the changes needed?



Are you actively supporting women's empowerment?

Here are some guiding questions to ask yourself during this part of the process:

- Have the voices of women and girls been considered and incorporated?
 - Have you considered the power dynamics between men and women, boys and girls? If so, how have you incorporated this analysis?
-



Note:

The advocacy change that is being sought should align with Long-Term Programme Objectives. Potential advocacy issues should arise from the contextual problems identified within programme planning more generally.

Step 2: Research and analyse the problem

Once you have selected the problem, you need information that will help guide your analysis and identify the root causes of the problem. Research done at this stage can also form part of the evidence that will convince other people of the validity of your analysis and recommendations when it comes to implementing your monitoring and advocacy strategy.

Existing information

Not all initiatives will require the collection of primary data. Information can be gathered through desk-based research, finding reports, surveys, consultations, statistics, policies, testimonies, information online etc that have already been conducted. Human rights reports, concluding observations of UN Treaty bodies, Universal Periodic Review reports and reports of relevant UN special rapporteurs can be very useful sources of data and analysis.

Talking to those who are already working on the issue to find out what's available is particularly important. Other communities or organisations may already be advocating on the same issue and may have done an extensive amount of preparatory work. Not only can that work help inform your strategy, but there may also be the opportunity for collaboration.

In many cases, this data should be sufficient to allow you to conduct your analysis. If you find that there are significant gaps in the existing data, you may need to consider doing primary research.

Gathering new information and monitoring

New information can be gathered using a range of approaches, including interviews with people, focus group meetings, conducting surveys or facilitating workshops.

Where primary data gathering is needed, activities that observe, assess and interpret how a specific law, policy, practice or budget – or its absence – is experienced on the ground can be considered. This is called monitoring. Monitoring should be intentional with information consistently collected and recorded in order to identify trends or patterns.

Primary data gathering does not require knowledge of complex techniques. Basic approaches include:

- Observation: Observations can be gathered through conduct of planned inspections (captured in writing or photographs) or by eliciting spontaneous reflection/observations at a community meeting
- Checklists: Citizens note the quality, presence or quantity of something (e.g. amount of medical supplies in a hospital, number of latrines built), using a checklist in written or pictorial format
- Case reporting: Affected community members self-report, or designated community members document incidents and cases (e.g. requests for bribes, gender-motivated attacks)
- Surveys: Experiences of a service or situation (hospital, police station) are documented through the use of a standardised set of questions, administered either in person or electronically

There are a range of specialised tools and techniques which have been developed by Trócaire and its partners to support community monitoring and analysis of service delivery, budgets and policies. These include: community score cards; social audits; citizen report cards; accountability sessions; public expenditure tracking (PET) surveys and participatory budget clubs. **Please see Phase 4 on implementation for more information.**



Note:

If a significant piece of research is planned as part of the strategy, see Trócaire's *Guide to Managing Research*, for practical guidance on planning and managing research available on Box.

Monitoring that takes place at the beginning of an initiative informs the development of the strategy. Citizen monitoring can also be designed as an ongoing activity which tracks the situation and any changes on the ground, provides evidence to support on-going advocacy and feeds into how the CMA strategy is adapted.

Analysing the problem



Tool 3 – Problem and Solution tree

Once you have the necessary data, the next step is to analyse the information you have collected. Where possible, the people affected by the problem should be supported to both gather evidence and undertake the analysis themselves.

It is crucial to be comprehensive and objective about identifying the root causes and effects of the problem, as well as its potential solutions. There are a number of **participatory** tools that allow you to develop a shared analysis of the causes, effects and solutions of a problem.

A particularly useful tool is the **Problem and Solution Tree**. The Problem Tree is a valuable visual mapping tool that is used to help analyse a situation, identify a core problem and identify the root causes of the problem. After using the problem tree to conduct the analysis, translating it into a solutions tree helps to identify potential aims and objectives for your monitoring and advocacy.

Where you have already been working on the issue and there is a high level of familiarity with the underlying problem and potential range of advocacy objectives, a simple brainstorming exercise to tease out the potential areas of focus may be more appropriate than using the Problem and Solution Tree tool.



Are you actively supporting women's empowerment?

Here are some guiding questions to ask yourself during this part of the process:

- How does the problem affect women and men differently?
- Who identified which change/s would be beneficial? Do you need to go back and ask other groups if some groups are missing?
- How might gender power relations affect, or be affected by the outcomes? (e.g. who stands to lose or gain?)

Step 3: Select your CMA aim and objectives and agree your policy position

Your analysis of the problem, or your brainstorm of potential focus areas should have given you a number of different root causes to the problem as well as a wide-range of possible change of policy or practice solutions. **You will need to pick a focus of your monitoring and advocacy.** There are a number of ways to choose a specific focus and none of them are wrong, as long as they are based on sound analysis and a clear rationale. In short, you should select your focus based on what is most strategically appropriate in your current context.

You could choose a focus:

- That you think is most important/will have the biggest impact
- That you think will be the easiest to achieve, but may not have quite as significant an impact
- That you think is most timely (depending on your context)
- That you think is key to enable other changes to happen (i.e. it has to happen first, and you see a clear causal link between it and other changes you would like to see happen)
- That you think no one else is addressing and that there is a clear added-value in you doing it

Whichever focus you choose, it is important that you develop a clear aim and set of objectives. It is recommended to use the approach below to set up Aims and Objectives.

Aim: Aims should relate to the reason for doing the monitoring and advocacy. For a development NGO or human rights organization, the reason for a CMA initiative will be to achieve an improvement in certain people's lives. Therefore the aim should state how those people will be affected. This should ensure the strategy remains focused on achieving an impact for the people affected by the issue.

Objectives: In order to achieve your aim, you are trying to make some specific changes in policy or practice happen. These are called your objectives. Objectives can be long or short-term, ambitious or readily achievable.

Objectives can relate to:

- Changes in laws, policies, budgets, services, or practices
- Implementation of laws and policies
- Funding to ensure implementation of policies or commitments or services
- Reform of institutions
- Changes in attitudes and behaviors of duty-bearers and decision-makers

Objectives should be written as outcomes you hope to achieve, not the activities you will undertake.

For example, instead of writing "to lobby the government to increase spending on education by 20% in the next budget," you should write "the government to increase spending on education by 20% in the next budget".

Objectives, wherever possible, should be SMART:

- **Specific** – What exactly is the change and who has to make it?
- **Measurable** – How will you know if it is achieved?
- **Achievable** – It can be ambitious, but it needs to be realistically achievable, taking into account available resources
- **Relevant** – Will the outcome contribute to the change you want to see?
- **Time-bound** – Have you clearly articulated a time period for your objectives?

SMART objectives express the specific elements of the overall change that you want to make by identifying:

- **Who** (the key duty-bearer or decision-maker e.g. person, institution or office) will make the change,
- **How** the change will be made (through a specific bill, guidance, regulation, allocation of funding etc.) and
- **When** it will be achieved.

These elements will become clearer as you go through Phase 2, below, so it may be possible to refine your objectives to make them SMARTER after completing Phase 2.

Objectives should be limited in number, usually between three and five. For a large Programme you may have an overarching aim and objectives which in turn contain sub-objectives where helpful.

Objectives can be further broken down into **Milestones** that articulate the smaller steps you must complete in order to reach the objective. Milestones should also be SMART: stating what will change and include WHO, HOW and WHEN it will be achieved.

Milestones for a CMA initiative may reflect enabling outcomes, monitoring outcomes, and different level of advocacy outcomes.

Examples of an Aim, Objectives and Milestones from the Trócaire Sierra Leone programme:

Aim: To improve the lives of women in Sierra Leone, encouraging their active political participation and engagement in claiming their rights, and promoting accountable and responsible actions from the Sierra Leone Government in response to women's demands by Dec 2021.

Objective 1: Sierra Leone Parliament approves submitted district bylaws on women's land ownership, inheritance and control by December 2021.

Milestones:

- **M1.1:** Ownership, inheritance, and control cases in partners' operational districts (Bombali, Kambia, Karene, Port Loko) are identified, mapped, and documented by December 2019
 - **M1.2:** Increased awareness among community women and men, and key stakeholders of existing laws, policies and commitments relating to women's land ownership, inheritance, control and participation by December 2021
 - **M1.3:** Bylaws that promote women's land ownership, inheritance and control in Bombali, Kambia, Karene, and Port Loko districts are created in coordination with communities, civil society and key stakeholders (including Local Councils) and tabled in Parliament by December 2020
-

Objective 2: Sierra Leone Parliament enacts the GEWE Bill by December 2021.

Milestones:

- **M2.1:** Stakeholders working on women's empowerment are identified and mobilized around the gender equality and women empowerment bill by 2019
- **M2.2:** The Gender Equality and Women's Empowerment Bill is drafted by the Law Reform Commission by 2020
- **M2.3:** The Gender Equality and Women's Empowerment Bill is tabled in parliament by 2021



Tool 4 – Position Paper Template

It is recommended that you document the work done during Phase 1 in a **Position Paper**. The Position paper will be a summary of the problem, your analysis of the solution, and your agreed aims and objectives.

A Position Paper should be no longer than two pages and include information about:

- The problem and its effects
- Analysis of the root causes and solutions
- The monitoring an advocacy aim and objectives that you pursue to address the problem

The main audience for a Position Paper is internal. It is intended as a tool to help you get the necessary approval and buy-in internally or among a set of partners collaborating on joint advocacy. It provides a concrete, focused summary that allows colleagues and allies to understand the position, as well as the underlying analysis. A position paper is not intended for an external audience but can also be the foundation for an external policy paper aimed at introducing the issue an your position and recommendations to an external audience. The Position Paper makes up sections 2 and 3 in your finalized Monitoring and Advocacy Strategy (Tool 1).



Are you actively supporting women's empowerment?

Here are some guiding questions to ask yourself during this part of the process:

- Are there additional targets relevant to gender-related objectives and asks? (e.g. women's rights influencers and decision-makers)
- What are the potential gender angles?
- What are the possible actions that actors need to take to solve issues related to gender within the central problem?



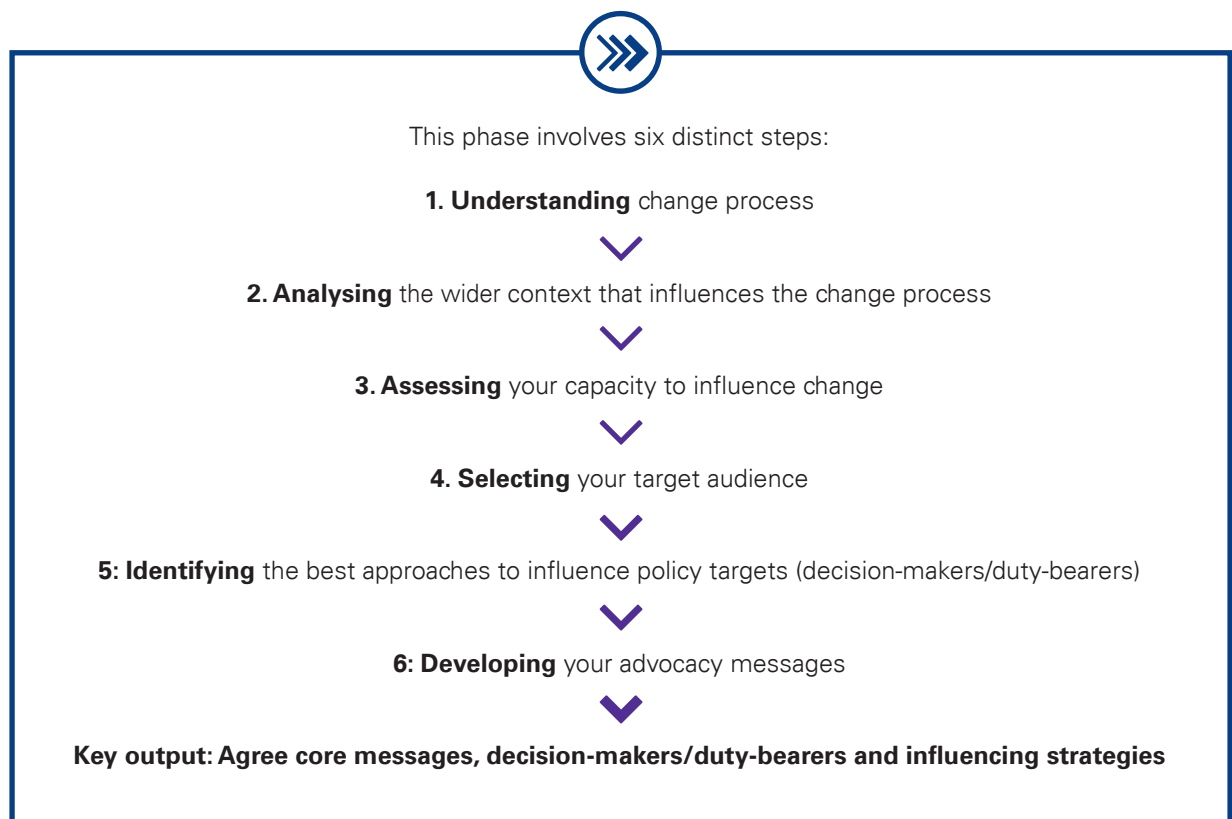
Key output:

Agree advocacy aims, objectives & milestones: position paper

PHASE 2: IDENTIFY THE BEST INFLUENCING STRATEGY

Phase 2 focuses on identifying the influencing strategy that you believe will be best suited to achieving your stated objectives.

To devise an effective influencing strategy, you need to understand the context and circumstances in which you will be operating and how you can best influence decision-makers to push for the change you want to see happen.



By following these steps you will end up with an influencing strategy that clearly defines your target audience, your chosen influencing objectives and your core message – or said in another way: **You will know who you are targeting and why, how to target them, and what you want them to hear.**



Note:

If you have more than one objective, you need to use the process described in this phase for each objective.

Step 1: Understand the change process

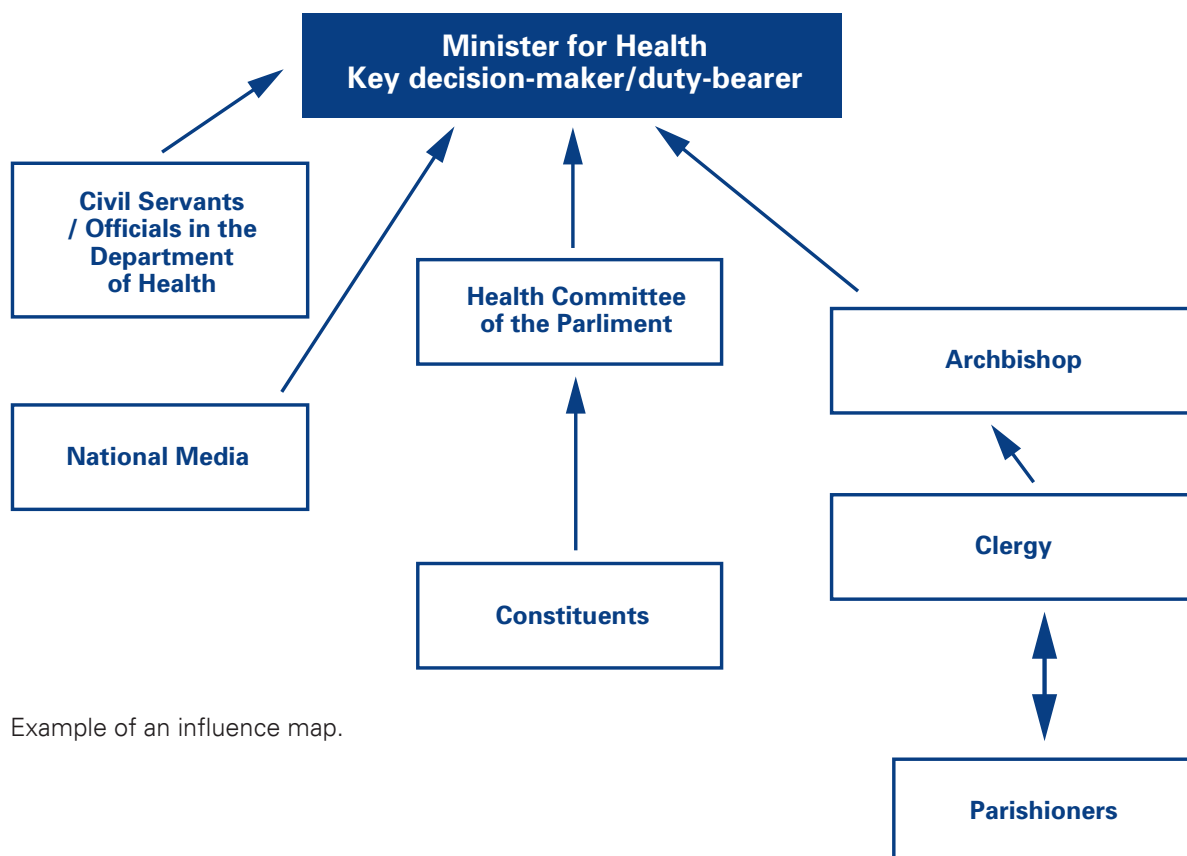
Understanding the steps involved in the change process, and specifically identifying the key decision-maker/duty-bearer is critical. The key decision-maker/duty-bearer will be your **policy target** – the person whose decisions and actions your strategy will need to influence in order to bring about the changes that you seek. Those planning the strategy may not know the answers to many of the questions below. Speaking to people familiar with these issues, or having an expert attend your planning activities can be helpful to get the information you need.

If you are looking to influence a legislative, budget, or policy decision of a government, business or other body you will need to ask yourself:

- **Where is the decision made?** (in which political space): That could mean national or local parliament or councils, a ministry, department or committee
- **Who makes the decision?** It is important to not only identify a department or body but to name individuals. The key decision-maker/duty-bearer is likely to be your main policy target
- **What is the decision-making process?** How does the process start and what are the steps that decision-makers go through to make the policy decision? Breaking down the change process in terms of a calendar can be helpful: here is an example from the budget process in Rwanda

Period	Budget Process						
	National Level		District Level				
July	Budget Execution	Budget Planning	Budget Execution	Budget Report			
August							
September					Budget Planning		
October				Budget Formulation			
November							
December							Budget Formulation
January							
February							
March							Budget Approval by DC
April							
May		Budget Approbation					
June							

- **What are the key policy documents you will engage with on your monitoring and advocacy intervention?**
These are the documents that you need to change, or documents that already exist and you can count on to back up your monitoring and advocacy work
- **What influences the decision?** What is taken into account when decision-makers/duty-bearers are making the decision (financial, economic, political and cultural issues). What outside forces, including individual power holders, hold significant influence? An influence map can be helpful for this



Example of an influence map.

If you are looking to influence the practice of an institution, you will need to consider:

- **Who is responsible for the practice?** Is there an implementing state body (A ministry, or a government department)? The key decision-maker/duty bearer is likely to be your main policy target
- **Why does the practice take place?** What factors influence the practice? Are the reasons political, economic, cultural/religious etc?
- **What are the incentives and barriers to adopting the change that you want?** Are there economic interests at stake? Who would benefit and who would lose out if the practice was changed? Is it a resource issue? Are there relevant legal provisions which govern the practice?

If you are looking to influence the behaviour of an individual or group, you will need to ask similar questions:

- **Why is the practice you want to change there?** Is it fulfilling certain needs? Is it a cultural/religious issue? What are the motivations for this behaviour?
- **What are the incentives and barriers to adopting the change that you want?** Are there economic interests at stake? Who would benefit and who would lose out if the practice was changed? Is it a resource issue?

Step 2: Analysing the wider context that influences the change process

It is also important to develop a deeper understanding of how the wider context impacts the change process and influences the key decision-maker/duty-bearer. There are many tools to support organisations to carry out contextual analysis. The PESTLE analysis, for example, offers a framework for examining the external environments and trends that might affect the issue, including **P**olitical, **E**conomic, **S**ociological, **T**echnological, **L**egal and **E**nvironmental.



Tool 5 – PESTLE Analysis Guide

Depending on the scope and scale of the exercise being undertaken, you may want to consider the following questions for each of the factors:

- Which are of most importance now?
- Which are likely to be most important in a few years?
- What are the factors influencing any changes which might occur?



Are you actively supporting women's empowerment?

Here are some guiding questions to ask yourself during this part of the process:

- What are the relevant gender issues in this context (e.g. power relations, cultural norms, division of labour, control of assets, etc.)? What gender-related information is missing?

Step 3: Assess your capacity to influence change

You need to take into account your own capacity – your strengths and limitations – when deciding on the best influencing strategy. Generally speaking, you should consider the following areas:

- **Human resources:** How many people/how much of people's time can be assigned to implementing the monitoring and advocacy strategy?
- **Knowledge and skills:** Do you have all the knowledge and skills necessary to implement the monitoring and advocacy strategy?
- **Financial resources:** Are funds available to cover potential costs of, for example, research, production of materials, events, contracting expert support, advocacy activities?
- **Information resources:** What research and evidence do you have to support your analysis and arguments? How credible is it? What role could monitoring play in your information and evidence gathering strategy?
- **Reputations and relationships:** How is your organisation perceived/seen by those you want to influence? Do you have access to key stakeholders?
- **Power:** What power do you have? What power do others have in your networks?

Once you are confident you have defined your own capacity, you may wish **to consolidate the findings with the findings in Step 2 (from the PESTEL tool) into a SWOT analysis**. SWOT stands for:

- **S**trengths
- **W**eaknesses
- **O**pportunities
- **T**hreats

Strengths and weaknesses are *internal* factors, while opportunities and threats are *external* factors. The primary objective of a SWOT analysis is to help people or organizations develop a full awareness of all the factors involved in a decision. The results of the SWOT analysis will help with selecting the best influencing strategy based upon **the overview of strengths to build upon, weaknesses to address, opportunities to take and threats to seek to mitigate**.



Tool 6 – SWOT Analysis Guide

Working collaboratively in networks/alliances/coalitions

Working with allies (such as for example other NGOs, academics or interest organisations) can have benefits as well as some drawbacks. When determining whether to work in collaborations or networks it is important to determine whether doing this will increase your chances of seeing the change you want. For example, other stakeholder may have a comparative advantage in terms of access or reach that you can make use of, while you may bring another advantage that they don't have. Strength in numbers may also lead to greater impact.

Some of the downsides of working collaboratively with other organisations often relate to lack of ability to agree clear messages, inefficiency or administrative burdens. When considering collaborations, it is also important to decide what format will work best for you. For example, you may need to determine whether you want to work permanently in a network or coalition with a permanent mandate, or whether you think it would make more strategic sense to work collaboratively on a specific piece of work, without a long-term commitment to a standing network.

See Tool 7 'working collaboratively' for some top tips on working in networks and coalitions.



Tool 7 – Working collaboratively

Step 4: Select your stakeholders and target audience

In step 1 above you identified the primary decision-maker/duty-bearer who has the power to make the changes that you are seeking. In the stakeholder analysis you now map out all the other stakeholders who can influence them.

What do we mean by stakeholder?

For the purpose of monitoring and advocacy work, stakeholders are people and organisations who are either affected by a particular issue or have the power to influence decision-making on the issue. Stakeholders include the **key decision-makers/duty-bearers** for the issue as well as all of those who can influence them – the **decision-influencers**. Stakeholders can be individuals and individual organisations, as well as groups or categories of people and organisations who share common positions, alignment or interests on a given issue.

All of these individuals and groups will have different levels of knowledge/awareness of the issues that your monitoring and advocacy is focusing on, they will hold different opinions on the issues, and they will have different levels of power or influence in relation to key decision-maker/duty bearers who can make the change that you are seeking.

It is important to identify and analyse these stakeholders in order to identify who are the most strategic people to target to bring about the changes you seek.



Tool 8 – Stakeholder Analysis

An in-depth stakeholder analysis – involving the development of an allies and opponents matrix and a decision maker influence map – provides a framework for making strategic choices on influencing strategies.

The process involves identifying all relevant stakeholders through a brainstorming exercise. This will include the **primary decision-makers/duty-bearers** (who have the power to make the changes you are seeking) and all **decision-influencers** e.g any individuals or groups that influence the decision-makers.

To develop an allies and opponents matrix make a list of all the influencers you can think of and then classify the decision-influencers as having either 'high' or 'low' influence on the key decision-makers/duty-bearers, and as either 'allies' or 'opponents' based upon what you know (or can guess) about their opinions of your advocacy aims and objectives. Place the names of the influencers on a grid that maps out 'high to low' influence and 'ally or opponent'.

High Influence Opponent	High Influence Ally
Low Influence Opponent	Low Influence Ally

The value of a stakeholder analysis is to help you to decide which decision-influencers you need to engage with and how. As a general guide, you may consider influencing the different stakeholders as follows:

- **Those who are high influence and allies:** keep them informed of your activities, seek to engage them in taking actions to bring about the changes you are seeking, and give them opportunities where possible to influence other stakeholders, in particular decision-makers, duty-bearers or power holders
- **Those who are high influence and opponents:** provide them with the data, evidence and research that supports the changes you are seeking to make, engage other influential stakeholders who may have more influence on them than you. Media or social media or public campaigning may also increase the pressure on these stakeholders. If it is not possible to persuade them to agree with you, seek to decrease their influence over the issue, for example by aiming to change public opinion behind the changes you are seeking
- **Those who are low influence and allies:** seek to increase their influence, perhaps through creating alliances or ensuring they are resourced with data and evidence (for example through monitoring activities)
- **Those who are low influence and opponents:** you may decide that it is not necessary to make this category the focus of your monitoring and advocacy, but keep an eye on them in case their influence increases

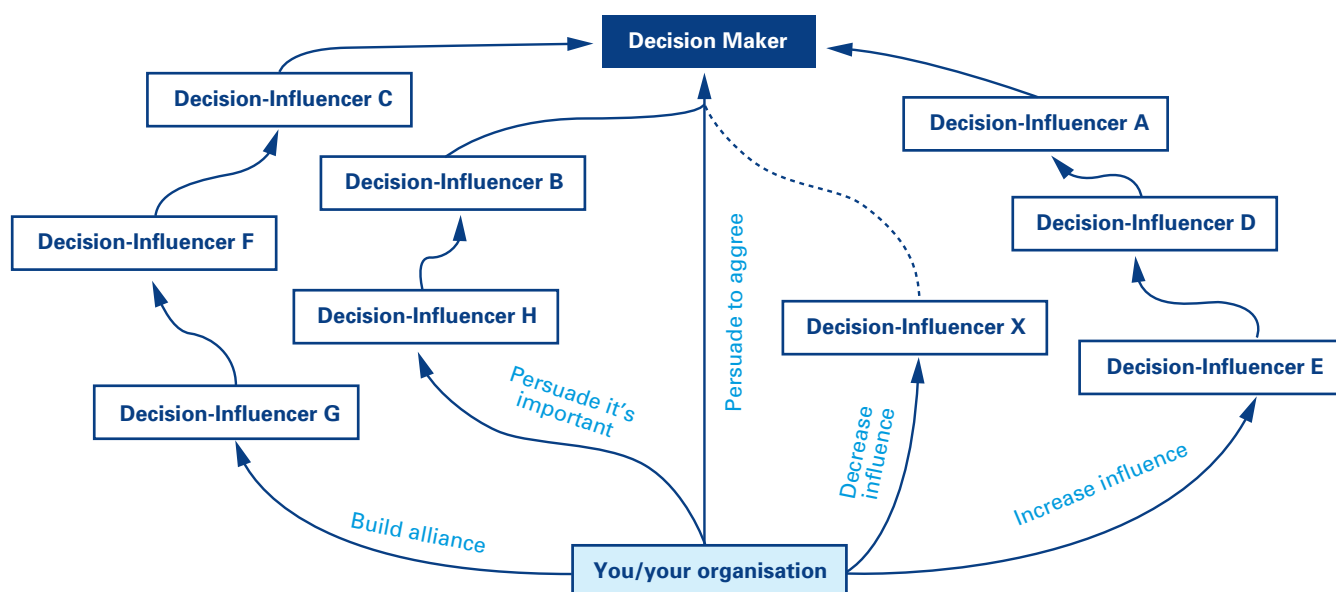


Note:

A stakeholder analysis is only possible if you have already clearly identified your aim and objectives and the relevant decision-maker/duty-bearers.

Develop an influence map for decision-makers and decision-influencers that you need to target to bring about your objectives

For the key decision maker/duty bearer (who can make the change that you seek) build up an influence map to represent how you can engage with each of decision influencers in order to persuade the key decision-maker to make the change you want (your objective). If you have a number of critical decision makers you may need to build up influence maps for each.



Example of an influencing strategy set out as an influence map.

Adapted from Ian Chandler, the pressure group www.thepressuregroup.org

Step 5: Identifying the best approaches to influence

There are many approaches for influencing and bringing about change. The most important thing is to identify what you believe will be effective in the specific context and with the specific decision-makers and decision-influencers identified. Making use of approaches that are **tailored** is key to successful monitoring and advocacy. Your approach can be 'insider' and collaborative, or it can be more critical and confrontational. The choice depends on your own context and what will best help you to achieve your objectives.

In general Trócaire and its partners make use of the following types of approaches:

- **Citizen Monitoring:** communities observe, assess and interpret how a specific law, policy, practice or budget – or its absence – is experienced on the ground, creating opportunities to influence change e.g., engaging with government officials at scorecard meetings. Citizen monitoring activities may happen early on in your CMA strategy as part of understanding the issue and developing your strategy; they may also be used to collect evidence to influence duty bearers to bring about a change in policy or practice
- **Lobbying:** involves direct engagement with a decision-maker or decision-influencer through lobby meetings, emails, phone calls etc. Lobbying may be done directly 'by' citizens themselves, or may be done 'with' or 'for/on behalf of' depending on the context. The timing of lobby meetings, emails, calls etc. should be considered in light of the 'understanding the change process' (Phase 2, step 1 above) in order to have maximum influence on the change being sought
Creating opportunities for groups or representatives of citizens from particular communities likely to be most affected to lobby directly with duty-bearers and/or decision-influencers can be both empowering for communities, and a powerful approach to advocacy. Citizens can be supported to either participate in government-convened consultations (invited spaces) or to create and host their own consultations where they set their own agenda and directly present findings and recommendations to duty-bearers (created spaces)
- **Campaigning/mobilising people:** is where members of the public – beyond the specific group advocating for the change – are encouraged to take action, such as through signing a petition, being active on social media, or maybe attending a demonstration. Public campaigning and mobilisation can increase the pressure on decision-makers/duty-bearers, particularly where there is an unwillingness to change based on evidence alone
- **Using the media:** can highlight and create debate around your issue and get the attention of the decision-maker/duty-bearer or other key stakeholders identified in your stakeholder mapping. This can be particularly useful if the changes that are being sought are either not on the agenda or if there is a lack of interest or reluctance by decision-makers/duty-bearers to make the changes sought
- **Legal advocacy, including litigation:** in contexts where it is difficult to engage directly with duty-bearers and hold them to account, legal advocacy and litigation may be an option. Depending on the context, different combinations of international and national laws, policies and standards will determine the source, nature and scope of the legal obligations of particular duty-bearers – and the range of national, regional, international jurisdictions that can be considered. Developing a successful legal strategy requires specialist expertise
- **Rapid Response Advocacy:** Rapid response advocacy is conducted when immediate action by duty-bearers is required to protect citizens, eg., where human rights defenders or civilians in conflict-settings are under threat. This tends to take the form of advocacy **for** those affected by the issue at hand. Rapid response advocacy can also take place when there is a very sudden or dramatic shift in the political context that would significantly impact upon your longer-term aim, and which therefore requires immediate attention. It can be a stand-alone piece of advocacy, or it can be a rapid response activity within an existing longer term strategy

For guidance on putting some of these approaches into action and useful hints and tips, please see Phase 4 of the guide, which focuses on implementation.

Deciding on what approaches to use

Many factors can influence your choice of approaches, such as the overall context, your specific objective, the nature of your relationship with the target decision-maker/duty-bearer or decision-influencer, the type of access that you have to the different stakeholders etc.

Deciding what approach (or more likely, combination of approaches) to use should be based upon reflecting on your SWOT analysis, understanding the change process and your stakeholder analysis and influencing map. In your stakeholder analysis map, for example, you identified key decision-makers and influencers that you need to engage with in different ways, such as through building alliances, increasing or decreasing their influence, persuading them to act etc.

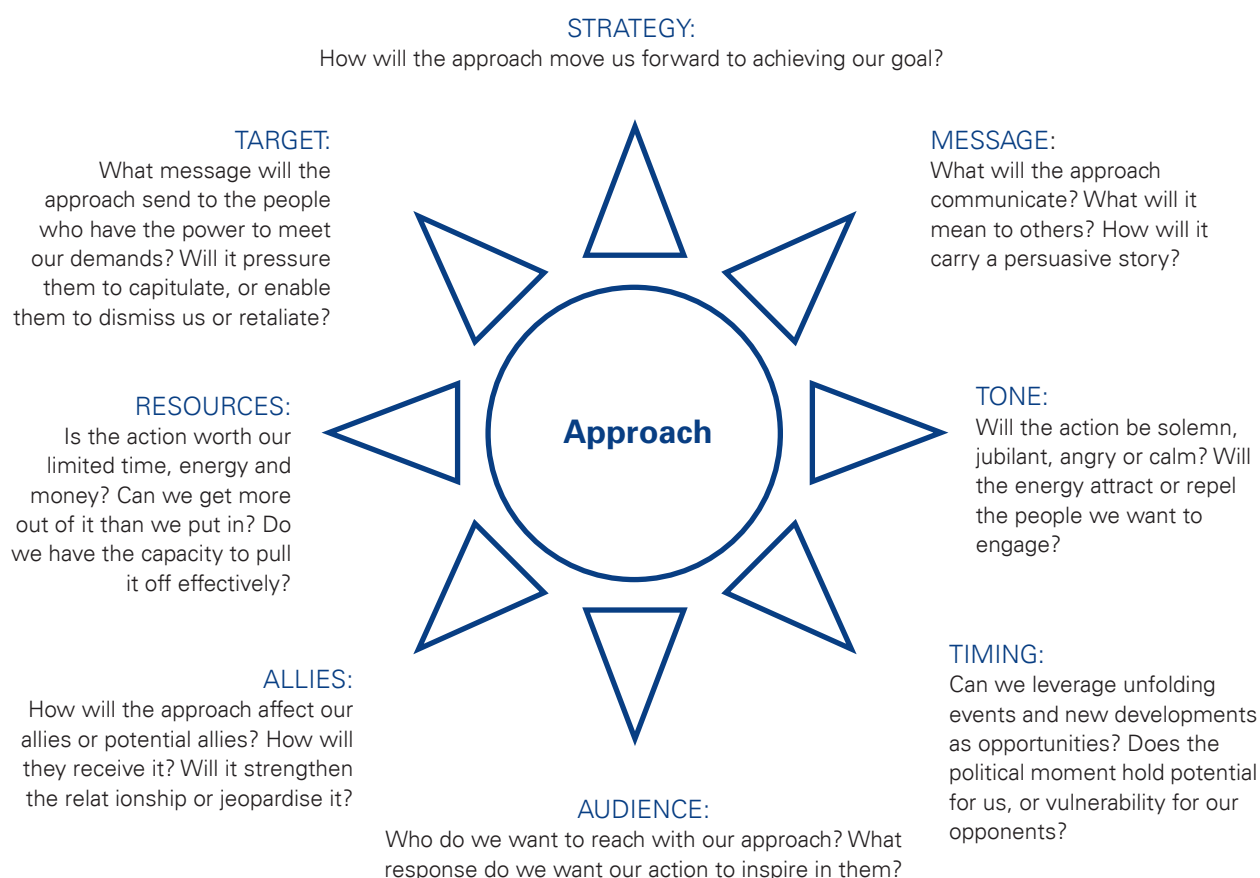
For each of your advocacy objectives, take time to discuss and to write down what kinds of advocacy approaches (such as lobbying, media work etc.) would have most influence with each of the groups of stakeholders. Try to be specific about what types of activities could you do, targeted at the different audiences. What part of the political process will it be targeted towards? Focus on what is realistic within your current plans, budget allocation etc.

The questions outlined in the 'tactic star' developed by 'Beyond the Choir' (www.BeyondtheChoir.org) are useful to help decide upon the most appropriate approach or tactic to use.



Note:

An individual approach should be developed for each key 'policy target' (decision-maker/duty-bearer, decision-influencer). What works well for one policy target, may not be suitable for another.



Deciding on what approaches to use

Adapted from the Tactic Star, developed by Beyond the Choir, www.BeyondtheChoir.org

Step 6: Developing your advocacy messages

An advocacy message is a summary of the change you want to bring about, based on the findings from the monitoring, research and analysis you have carried out, the main policy asks and the key targets. Below are some tips to develop good influential messages that can be used in face-to-face meetings with duty-bearers/ decision-influencers and other stakeholders; to guide or inform written communications and to support media communications:

Tip 1: A clear message should:

- Summarise the change you want to bring about
- Be short and punchy, two or three sentences
- Be understandable to someone who is not familiar with the issue, and be jargon free
- Include the reasons why the change is important
- Include the actions you want the audience to take in response
- Be memorable

Tip 2: When preparing your message, it is good to follow this order:

- Appeal to the **heart**: Why should they care? Communicate the need and what needs to change
- Appeal to the **head**: What can change? Use inspiring examples and strong ideas on what is possible
- Appeal to the **hands**: What can they do? What are you asking from your target audience?

Tip 3: Framing your messages

- Your message should be framed according to the different audiences you are seeking to reach. Think about who you need to develop messages for, and what it is that you would like them to do. Find ways to link the interests of the people you want to influence with your advocacy issue. Your analysis of the issue, and stakeholders will determine how you 'frame' or present your message to a particular audience

Tip 4: Quick Fire Message

- A quick-fire message ('pitch') allows you to communicate your advocacy message in less than one minute – you may have just a couple of minutes with a key stakeholder, duty-bearer/influencer. In your quick-fire message include:
 - What the problem is and how it can be changed.
 - What you want from the person you're speaking to, if only just an agreement to meet and discuss the issue in more detail.

Tip 5 – Killer Facts

- Consider using Killer Facts in public communications and media work. Oxfam's Duncan Green describes Killer Facts as: "Those punchy, memorable, headline-grabbing statistics that cut through the technicalities to fire people up about changing the world". They are called Killer Facts because if they are really effective, they kill the opposition's argument. Some 'Killer Facts' can have more influence than extensively researched reports.

Type of Killer Fact	Example
Big number – a single statistic showing the size of the problem	<ul style="list-style-type: none"> Armed conflict cost Africa 18 billion USD a year Remittances from overseas workers to developing countries are worth 372 billion USD a year, three times the global aid budget
Juxtaposition to highlight injustice and double standards	<ul style="list-style-type: none"> It would cost 66 billion USD to get everyone on the planet out of extreme poverty – 4% of global military spending A woman's risk of dying from pregnancy-related causes ranges from 1 in 18 in Nigeria to 1 in 8,700 in Canada
Absurdity	<ul style="list-style-type: none"> It is easier to trade in guns than bananas. Bananas are subject to more regulations under EU rules than sales of AK47s Every cow in the EU receives over \$2USD per day in subsidies, more than the income of half of the world's people
Surprising statistics	<ul style="list-style-type: none"> More people die of road traffic accidents in developing countries than die of malaria Mexico is the second most obese country after the US
Humanising abstract issues	<ul style="list-style-type: none"> 12 million children will go hungry in 2015 because of Climate Change
Human scale – rescale statistics to a size we can relate to	<ul style="list-style-type: none"> A child dies every four seconds from preventable causes There are two bullets for every person on the planet

Typology of Killer Facts adapted from <https://oxfamblogs.org/fp2p/how-to-write-killer-facts-and-graphics-what-are-your-best-examples/>

To conclude this phase, you should update the Position Paper from Phase 1 to add your work on messaging into it.



Are you actively supporting women's empowerment?

Here are some guiding questions to ask yourself during this part of the process:

- Who else is working on this issue from a gender perspective?
 - In your stakeholder analysis: are there women-led organisations engaged on this issue who may be allies?
 - What gender equity and equality issues are present in the message proposition? What gender-related messages could be included?
 - How will you ensure the message language challenges gender stereotypes?
-



Key output:

Agree core messages, decision-makers/duty-bearers and influencing strategies.

PHASE 3: DEVISE MONITORING & ADVOCACY ACTION PLAN

The first two phases of this guide focused on establishing what you want to change, how change happens and who makes and shapes the decision. As a result you should have developed a clear aim and objectives and identified the best influencing strategies to achieve the change you want. In this final phase you will complete your strategy and action plan.



This phase involves three distinct stages:

1. Identifying the policy calendar: key external moments and opportunities



2. Identifying risks, concerns and challenges



3. Agreement on advocacy action plan, budget, and overall coordination



Key output: finalised strategy & action plan (tool 1)

Step 1: Identifying the policy calendar

The policy monitoring and advocacy calendar

Drawing up a calendar with the main external events and opportunities is a good first step. It will help you identify important deadlines and monitoring and advocacy opportunities. You will draw upon the timelines identified in the 'understanding the policy process' from Phase 2, step 1 above, as well as other potential policy or media hooks to identify the critical moments for data gathering/monitoring and key influencing activities.



Tool 9 – The Policy Calendar Template

Once you have mapped out the external events and opportunities, you can identify:

- What information needs to be tracked and used at which moments?
- Which periods of your policy calendar will be the most critical for the success of your advocacy?
– when are the really critical decisions made/when are the key moments that shape those decisions?
- Which events provide the best influencing opportunities?
- What ‘symbolic’ moments provide key media hooks?

Step 2: Developing an Action Plan and Budget

Depending upon your choice and combination of approaches, your activity plan will likely include some of the following types of activities: citizen monitoring of one or more policies, budgets or practices, publishing a policy report, doing media work, having lobbying meetings, sending lobby letters, mobilising the public. Each of these activities should be timed according to when they can have most influence over critical moments in the decision-making or change process (identified in your policy calendar).

Based upon all of the planning steps, you should now decide what activities you will do and when. Tool 10 provides a framework for developing a monitoring and advocacy action plan. When developing your action plan, draw on:

- The **change process and political calendar** key dates for influencing that you identified in phase 2, step 1 and in phase 3, step 1
- Your **stakeholder analysis & influence map** and the **influencing strategies** you decided on in phase 2 (e.g. citizen monitoring, lobbying, campaigning etc.)
- **Tracking & assessing impact:** include in your plan activities that support you to **track** and **assess** your progress towards achieving your objectives. This might involve field visits or collecting data, in addition to building in time for the team to evaluate and learn (see phase 5 below for more details)



Tool 10 – Monitoring & Advocacy Action Plan

Budget & Resources

The resources you have available for advocacy work will be a mixture of financial, human capacity and common or shared knowledge. Examining all elements will support you in identifying any gaps that need to be filled before you start the implementation of your strategy.

Money

- what money do you have available for this monitoring and advocacy project?
- Where is the money coming from: your organisation, partners, other funders?
- Are there likely to be cash flow problems or difficulties getting authorisation for spend?
- Roughly, how much do you think you will need to implement the activities you are considering?

People (human resources)

- Who will be available to work on different aspects of the project?
- Can you get their time and commitment to engage?
- Who can do what from your team?
- Do you have volunteers to distribute leaflets, campaign supporters to write letters, community members to attend meetings?
- Do you need to recruit external help for particular pieces of work? Which ones?

Skills and experience

- Do the key people have the right skills and experience?
- If not, can you train them and get other people involved?
- Have you included a monitoring and advocacy capacity building line in your activities or is this part of a broader organisational budget?

Partners

- What could potential partners deliver?
- Are there new partners that you may approach to join the programme?

Information and knowledge

- Have you been able to do enough research and analysis on the issue?
- Have you got enough information on your 'policy targets' (decision-makers/duty-bearers and decision influencers) and other key stakeholders?
- Which organisations are well known for having solid knowledge around the issue you are advocating for? Can you access their materials? Could they work with you?

Relationships

- What relationships do you, your staff, volunteers and partners have which you will be able to use?

Reputation

- Do you or your partners have a strong reputation among the policy target/decision-maker, with the public or media? If not, have you developed strategies to get around this?
- Can you work with influential spokespeople or celebrities to speak on your behalf?

Time

- Do you have enough time to implement your project effectively?
 - Are there particular deadlines that you have to meet?
 - Are there external events that you wish to use, such as elections, national or local policy meetings, budget consultation calendars, international summits? If so, factor these into your policy monitoring and advocacy calendar above.
-

Developing the Monitoring and Advocacy Strategy Budget

Below is a list of categories to consider including in your budget

- Staff salaries and benefits
- Supplies e.g. stationery
- Activities and events (Including transport, cost of meetings etc...)
- Printing and distribution (Leaflets, policy reports, etc.)
- Communications (telephone calls, postage, internet)
- Office space
- Consulting services (policy research, legal services, etc.)
- Training
- Fees
- Contingencies

Step 3: Identifying risks, concerns and challenges

The risks arising from monitoring and advocacy work should be integrated into the overall risk management plan for Trócaire programmes. In relation to monitoring and advocacy work the following types of risk may arise:

- **Risk to people:** If Trócaire or its partners decide to speak out in an operating environment on issues that may be considered controversial/difficult by people in power it can lead to significant risks to the physical integrity of staff or partner staff, such as violence or threat of violence, detention and even death threats. This risk is often not limited to Trócaire or partners staff but can extend to friends of families of staff or people in the communities affected by the issue you are advocating on
 - **Risk to reputation:** Some aspects of monitoring and advocacy work happen in the public domain and any mistake (such as relying on incorrect information, failing to accurately represent/consult the people you are claiming to advocate for, not delivering on promises made etc.) can potentially have significant negative impact to Trócaire and its partners' reputations
 - **Risk to property:** As with risk to people, advocating on sensitive or controversial issues could lead to threats against organisational or personal property such as forcible closure of buildings, confiscation of documents and IT equipment, and theft
 - **Risk to legal status/operationality:** In some restrictive contexts doing monitoring and advocacy work on sensitive/controversial issues may lead to authorities revoking, or threatening to revoke, Trócaire's legal status and ability to operate in a country
 - **Risk to relationships:** There is always the risk that new monitoring and advocacy work can damage existing relationships with stakeholders who do not agree with the policy position or the approach that Trócaire and partners have adopted on an issue
-



Tool 11 – Risk Analysis

Given the potential risks related to doing monitoring and advocacy work, it is crucial that you undertake a risk assessment as part of your monitoring and advocacy planning, and that you ensure the risk assessment is updated regularly. Where the citizen monitoring and advocacy work is already well integrated into the overall programme, these risks may be identified and addressed during the overall risk analysis for the programme. There are a number of tools available to assess risks. Tool 11 focuses on identifying threats and then analysing them from the perspective of:

- Severity
- Likelihood
- Ways to mitigate/manage risks

This simple tool will allow you to clearly analyse each risk and will produce an overall risk score for each threat that will allow you to compare the severity of different threats and prioritise risk management strategies.

Step 4: Agreement on action plan, budget and overall coordination

Now that you have completed all the steps from Phases 1-3 you can finalise your strategy and action plan using the template from Tool 1.

Each of the activities that you have done as you progressed through each step should provide all the necessary elements, including agreed aims and objectives, core messages, key decision-makers and decision-influencers and actions.

As you finalise your strategy together, ensure that:

- Everyone involved in developing the plan (colleagues, partner organisations, programme participants) agree with the plan and are happy with it
- You have followed the internal policies for sign-off of the plan
- Any resources needed for implementation of the plan have been allocated



Are you actively supporting women's empowerment?

Here are some guiding questions to ask yourself during this part of the process:

- If not already included, what gender-related opportunities are on the policy calendar?
- Pay attention to who is representing the community or organisations in monitoring and advocacy activities – is there an appropriate gender balance?



Key output from Phase 3: Finalised strategy & action plan (Tool 1)

PHASE 4: IMPLEMENT YOUR MONITORING & ADVOCACY STRATEGY

This phase focuses on the implementation of your monitoring and advocacy strategy. It takes each of the common monitoring and advocacy approaches identified in Phase 2 above and provides guidance on tools and methodologies as well as 'top tips' for successful implementation.



Key output: Influence decision makers/duty-bearers, change in policy, law or practice

By following Phases 1-3 above you should have produced a monitoring and advocacy strategy (Tool 1) that includes clear objectives, a policy calendar and a detailed work-breakdown as articulated in your action plan. You should be well equipped to begin implementing your strategy. In addition to the above, you will need a clear plan for tracking and assessing the impact of your activities (see phase 5 below for details).

This section takes some of the monitoring and advocacy approaches most commonly used by Trócaire and Trócaire partners and provides guidance on some useful tools and methodologies as well as 'top tips' for successful implementation. The approaches covered in this section are:

- Citizen monitoring
- Lobbying, including direct citizen participation
- Campaigning and mobilising
- Using the media

Citizen Monitoring:

Citizen monitoring embeds a human rights based approach in the citizen monitoring process. It is a powerful method for effectively involving community members in the decisions that affect their lives. This approach allows people who have been excluded to participate in demands for accountability and to redress the power inequalities that impact their lives.

Citizen monitoring helps community members and civil society groups to gather information, document problems, and to create an evidence base for their advocacy. Forming alliances with other communities and organisations who have the same objectives can help to greatly strengthen the monitoring and accountability outcomes.

Citizen monitoring involves consistent gathering of information on, for example: how governments implement and spend local and national budgets; the quality or availability of particular services or programmes (health, education, infrastructure, policing etc.); the state of the natural environment or agriculture.

Citizen monitoring can also involve gathering information and analysing the conduct of authorities in terms of violations of human rights law, from the right to health to the prohibition on torture. In Zimbabwe for example citizen monitors collect and verify information relating to attacks on human rights defenders as a basis for advocacy on protection with national and international authorities. Monitoring and investigating serious human rights violations – particularly civil and political rights violations – or the conduct of actors with significant political and economic power such as corporations, can involve considerable risks to the monitors, victims/survivors and witnesses. In addition to the specialised techniques and approaches required for this work, risk management, and protection of any personal data collected, will be critical considerations.

Citizen monitoring tools can be tailor made to fit the purpose of the intervention. Choosing a tailored monitoring strategy and tools will depend on what evidence is required in order to carry out subsequent advocacy and accountability efforts, where the information to underpin this evidence can be found, who has access to it and who will collect, analyse and synthesise it. The planning Phases 1-3 in the guide above should help to identify the answers to these questions.

New technologies are creating opportunities for innovative approaches to citizen monitoring. Digital technology can be a powerful tool, but there can also be significant risks associated with its use. Please contact Trócaire's Global Digital Data Advisor for guidance.

There are different approaches and tools that can be used for citizen monitoring. Below is a non-exhaustive list of the most common citizen monitoring approaches and tools classified as (i) Policy monitoring – useful for monitoring what commitments are being made; (ii) Service monitoring; and (iii) Budget monitoring – which are both useful for monitoring changes in practice.

There are no set templates to use when applying these approaches and tools. Groups can develop their own templates following the brief explanations below or recommended further reading contained in the CMA Resources folder on Box.



Note:

Trócaire's Guidance on Personal Data Collection is applicable to all situations where personal data is collected, including ensuring compliance with the General Data Protection Regulation (GDPR). Trócaire's Data Protection Officer can offer additional guidance on data collection, storage and analysis.

1. Policy monitoring

Citizen Charters: A Citizen Charter is a public notice displayed by government bodies which provide public services for the information of the service receivers. A Citizen Charter notes the types of services available, the service fee, the responsible person providing the service, the service quality, the duration for providing the service, the terms and procedures of service delivery and the remedy if the service is not available. A Citizen Charter also signifies a commitment expressed by the government body in the context of a particular service meant for targeted service receivers.

Why is this useful:

Citizen Charters are the first and most simple medium for citizens to receive information about the services of a particular office. Apart from accessing information, Citizen Charters may also inform people about the process, money and time involved in making the service available to receivers. The Charter can be used as a basis to consistently check how a service is being provided over time, providing an evidence base for advocacy.

Check list of relevant laws, policies and regulations related to advocacy issue: Every country formulates laws, acts, policies, rules, guidelines and procedures. Such laws have provisions under which the citizens have certain rights and entitlements. Every law formulated by the state has a direct or indirect impact.

Why is this useful:

This information can be used to identify which if any of the laws, policies or regulations could be the focus of on-going monitoring and whether advocacy is required to address a gap or to improve implementation.

Monitoring national development plans or sectoral plans: A government's overall strategy for development may be called a poverty reduction strategy (PRS), a national development plan, social accord, vision document, or an anti-poverty policy. Monitoring the implementation of such policies usually happens at a high level and involves collecting and analysing data across a range of areas or at a sector level eg., agriculture, gender, education, health, justice, law and order, etc.

Why this is useful:

National development plans and sectoral policies set the overall policy direction and frame for how most goods and services are to be delivered to citizens. Monitoring their implementation is an important part of citizen advocacy towards holding duty-bearers to account for their commitments. For more information see Trocaire, CAFOD, Christian Aid (2007), *Monitoring Government Policies: A toolkit for African civil society organisations*

Community-based monitoring of local development plans: Local government development plans are the policy documents that set out how the local government plans to bring about positive changes in its jurisdiction. In countries such as DRC, Malawi and Kenya, citizen participation in shaping local development plans is an entitlement by law.

Why this is useful:

Citizens can not only influence what goes into a local development plan, but monitor its implementation and hold duty-bearers to account for commitments. Trócaire has supported monitoring of local development plans in Malawi, Rwanda, Nicaragua, Kenya, Uganda, DRC and Sierra Leone. For more information see Trócaire Malawi (2017) *Social Accountability Learning Evaluation* and Trocaire & Dee Jupp's case study *Citizen Led Approach to Development as applied in Malawi*.

2. Service monitoring

Community Score Cards: The Community Score Card (CSC) is a two-way participatory tool for assessment, planning, monitoring and evaluation of services. The CSC brings together the demand side (“service user”) and the supply side (“service provider”) of a particular service or program to jointly analyze issues underlying service delivery problems and find a shared way of addressing those issues. It is easy to use and can be adapted into any sector where there is a service delivery scenario. After both service user and service provider score the service, a collective analysis and evaluation creates a basis for discussion of how to improve the service.

Why is this useful:

CSC is a good mechanism for creating dialogue between service users and service providers on a regular basis, aimed at improving delivery. The findings of community scorecards on the quality of services can also be presented to decision-makers higher up as evidence of the need for more systemic improvements. For more information, see: Trócaire Kenya case study (2016) *Community score cards to improve health services in West Pokot*, CARE international *Community Scorecard Approach*, World Vision *Citizen Voice and Action Model*.

Citizen Report Cards: Citizen report cards are known by many names, including citizen feedback surveys, citizen satisfaction surveys and service delivery satisfaction surveys. They are used to collect feedback from service users on the quantity and/or quality of specific government services they have received and/or to compare performance across service providers.

Why is this useful:

The findings of citizen report cards on the quality of services can be presented to decision-makers as evidence of the need for improvements. For more information, see Trócaire India social accountability case studies (2015): *Community Monitoring using manual and pictorial tools and Citizen Report Cards*

Social Audits (with public hearings): A social audit is a process (often conducted through public platforms) of reviewing official records and determining whether State-reported expenditures reflect what has been spent in practice, and whether goods and services have been delivered in the right quantity and quality. The findings of a social audit are usually presented and discussed at a public hearing to which relevant duty-bearers and affected citizens are invited.

Why this is useful:

Social Audits allow people to scrutinize practice. Combined with public hearings, social audits can be key influencing moments as the public nature of the information may put increased pressure on decision-makers and/or may generate media interest in relation to the changes that are being sought. For more information, see: Trócaire India case studies (2015) *Social Audits of government job scheme*, Trócaire Kenya funded social accountability project (2016) *Social Audit of Waste Management Services*.

Other community based monitoring of services: Other community based monitoring used in Trócaire programmes include: service mapping (to understand the availability and quality of services), gathering of digital photographic or video evidence of the status of service delivery (physical structures, infrastructure, equipment, materials, etc.), and safety audits that assess the safety of community or camp environments. For a documentation of the monitoring of health care services in Peru see the case study by Frisancho and Vasquez (2015), *Citizen Monitoring to Promote the Right to Health Care and Accountability*.

3. Budget monitoring

Public Expenditure Tracking Surveys (PETS): PETs track the release of funds from the original allocation right through to the levels of government where they are supposed to be turned into goods and services (usually the local level). They monitor how much of the promised resources actually reach the right level (and how much seeps away), as well as the time it takes for resources to flow through the government bureaucracy. Information is collected from different sources, including those providing public services, and from local and more central government levels.

Why is this useful:

This method helps to identify the problems, weaknesses, irregularities and leakages in the management of public budget expenditures. It provides powerful evidence to use in lobbying decision-makers on the management of funding for the specific issue on which your monitoring and advocacy strategy focuses.

Community-based Participatory Budget Clubs: Through the clubs, community groups learn how their local budgeting process works, how to influence duty-bearers with respect to community priorities and how to monitor local budget spending.

Why is this useful:

Budget clubs promote the direct participation of local citizens and their representatives in budget allocation and the management and monitoring of expenditure



Note:

Monitoring can be done by communities using very simple methodologies, including simple tools for the different types described here. For communities with low literacy rates, pictorial and manual tools can be used by households and communities to simplify the process of tracking the quantity and quality of government goods and services received. See for example Trócaire's India social accountability case studies (2015) *Community Monitoring using pictorial tools*.

Lobbying:

As described above, lobbying is the process of trying to directly influence duty-bearers/decision-makers, such as politicians, civil servants, or corporate chief executives to bring about the changes (to a policy, budget, law or practice) as identified in your aims and objectives.

Lobbying may involve engaging with 'invited spaces' – where there are opportunities to feed into the decision-making process (such as a public consultation) – or 'created spaces' – where you create the opportunity (such as hosting an event, or seeking a meeting) to engage with decision-makers.

Activities that could be part of lobbying:

- Making a written submission to a government consultation on a given policy or practice
- Attending a government-convened consultation on a given policy or practice
- Attending events where decision-makers/duty-bearers are speaking and asking a question or making a point from the audience
- Writing a letter to a decision-maker/duty-bearer
- Sending a position paper
- Making a phone call
- Arranging a visit or meeting
- Conducting a visit or meeting
- Making a presentation to a committee or a grouping of decision-makers/duty-bearers
- Enabling a decision-maker to go and meet with a community affected by an issue
- Hosting an event, for example to present findings from monitoring activities, that you invite decision-makers/duty-bearers to attend



Tool 12 – Lobbying Skills

Top Tips for Successful Lobbying

Prepare

- Be clear about what you want
- Ahead of meetings, know the views of the people to be lobbied, and identify what is in it for them – why should they change their views?
- Written submissions, briefings and letters should be concise and clear about what the problem is, what evidence backs this up and include clear actionable recommendations

Develop your messages (see phase 2, step 5)

- Be simple and explicit
 - What is the issue?
 - What do you want them to do about it?
 - Use examples that will engage their interest
 - Prepare a short brief
-

Plan and rehearse for meetings or presentations

- Consider the best time and place for a meeting
- Be sure you know the venue
- Arrive on time; be prepared to leave before time
- Dress appropriately
- Be polite, acknowledge status

Effective meetings

- Be conscious of your body language
- Relax, keep your voice calm
- Listen actively – don't interrupt, demonstrate empathy
- Ask questions
- Keep to time – brief is best; don't get distracted, stick to your plan

Build relationships: the messenger can be as important as the message

- Consistency of engagement builds trust and transparency
 - Being a credible and reliable source of information makes people listen
 - Ideally lobbying is done by or includes people directly affected by the issue
 - Be friendly, use social skills
 - Keep in regular contact
 - Always finish a meeting by suggesting another one would be useful
-

Campaigning:

Campaigning is the process of engaging the public and getting them to take some action to demonstrate their support for your monitoring and advocacy objectives.

The main objective of public campaigns is to demonstrate to your policy targets (decision-makers/duty-bearers) that there is significant public concern about the issue and wide support for your position. As individuals they might not have much influence, but united behind a particular position they can exert considerable pressure.

There are two types of groups that can be mobilised for action:

- **People who are directly affected** e.g. farmers in Myanmar feeling the effects of environmental mismanagement
- **People who are concerned for those who are affected** e.g. a partner in Myanmar, concerned around the impact that extractive industries have on the environment, or Trócaire in Ireland, concerned around the effects that environmental mismanagement has on rural farmers in Myanmar and on climate change globally



Tool 13 – Campaign Methods

Mobilising people creates opportunities to:

- Increase pressure on decision-makers/duty-bearers by showing there is public concern, a wide range of interested groups and a high level of awareness and understanding of the issue
- Open access to decision-makers if lobbying is not achieving much
- Bring media attention to the issue and raise the profile of the issue
- Produce greater commitment to the issue by those involved
- Lobby directly where it has not been possible to lobby before

Mobilising and campaigning are culture-specific. What works in one country, such a street march, might not work in another one, where an orderly public meeting might be more appropriate. In some countries, mobilising people publicly is not possible at all, but might still happen in a virtual way online (social media or online petitions). Tool 13, campaign methods includes a menu of methods for campaigning and mobilising. It is important for organisations to discuss the ones that are more country and culture appropriate.

In contexts where it is appropriate, campaigning using social media can be:

- **Easy** – Technology is developing fast and there are more and more ways to get people involved in your campaign
 - **Quick** – You can respond to news and events, send messages to supporters and share information at the click of a button
 - **Cheap** – It's all there for you. Emails, social media and a whole lot of web-based tools are there for you to use for free
 - **Reach** – It's where people are. People spend time on the internet and social media, so you can reach huge numbers online. Your supporters can spread what you share with others in their networks, and so on
 - **Make connections** – Social media helps connect your supporters to each other. This makes them feel part of a community and motivates them as part of something bigger
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- **Simple to act** – Engaging supporters in action can start with something simple, like signing an online petition. There are simple entry points that can lead to greater involvement
- **Data** – Ensuring that you are compliant with the relevant data protection legislation, you can store and build up information about your supporters and help deepen their engagement with the monitoring and advocacy initiative

Using the media:

The media can play a significant part in public monitoring and advocacy work. Television, radio, press and social media offer the opportunity to both reach decision-makers and influence wider public opinion. When choosing the right media, make sure you understand their role in your country: Which press are more outspoken? Which radio stations are government controlled? How many people have access to social media and in which environments? Which audiences are reached by which media and what's their style?

Written media activities

- **Press Releases** are summaries of your story, providing key messages to get journalists' attention and hopefully prompt them to follow up
- **Letters to the editor** of a local or national newspaper or magazine: the letters page is often one of the most-read sections of a newspaper and a carefully worded letter of a few paragraphs can be particularly effective in getting across the main advocacy messages and a call for action
- **Feature-length articles** for newspapers or magazines: these always have a strong appeal on a personal level. They are often linked to an individual's personal story, a single topic, such as the issue you are monitoring and particular advocacy moments. They do not necessarily need to relate to a current news topic
- **Blogs** are written from a personal viewpoint, for an individual or organisation's website or a media website
- **Preparing Background information for journalists** on the issue (on the basis that they may not have time to do in-depth research themselves)

Spoken and visual media activities

- Radio interview
- Television interview
- Phoning in to a radio talk show
- **Radio or television programmes:** this can include producing regular programmes in local languages, as well as placing storylines about the issue within soap operas or other popular programmes
- **Film footage on social networking sites** illustrating how communities have been affected by an advocacy issue and highlights their monitoring or advocacy work

Building media relationships can involve

- Putting on a **breakfast or lunch for journalists** and inviting them to come and find out about a monitoring or an advocacy initiative
 - Inviting a **journalist to an event** or to see what is happening in one of the communities affected by an advocacy issue or engaged in monitoring activities
 - Organising **joint events** with the media
-

- **Working through social media**, alongside traditional media channels, to share stories can help to build relationships with key journalists and other influencers



Are you actively supporting women's empowerment?

If you have followed the guidance on including a gender perspective throughout the development phase of your strategy, the implementation phase should deliver a strategy with a strong gender-perspective.

If you are monitoring policies, services or budgets, ensure you include how it affects or will affect women, girls, men and boys, respectively, in order to assess how gender responsive the policy, service or budget is.

Monitoring and advocacy strategies that include budget monitoring should consider including gender responsive monitoring within the approach.

Pay attention to who is participating in lobbying activities, who are the spokespersons in the media, whose voice is being heard throughout the monitoring and advocacy activities – be proactive in ensuring a diversity of voices.



Key output from Phase 4:

Influence decision makers/duty-bearers, change in policy, law or practice

PHASE 5: TRACK & ASSESS IMPACT & REVISE STRATEGY

Tracking and assessing the impact of the monitoring and advocacy strategy will help you to find out whether you have influenced, or made progress towards influencing, decision-makers/duty-bearers to bring about the change you want.

Bringing about changes in policies, laws and practices can take a long time. Trocaire's approach to tracking and assessing the impact of monitoring and advocacy work therefore does not just focus on the final result of the change in policy, law or practice (as articulated in the Aim and Objectives from Phase 1). It includes tracking and assessing changes along the way in the form of the knowledge, attitudes and behavior of the decision-makers/duty-bearers or power holders that you are seeking to influence.



Tool 14 – Advocacy Indicator Guide

Change can be a slow, incremental and non-linear process, so keeping track of seemingly small success is an important part of learning from your work and determining what worked well, what can be built upon and followed up on, and what overall lessons can be learned from the work done so far.



Key output: Activity and success table, adapt strategy & plan

Tracking success in advocacy

When it comes to measuring the impact of your advocacy activities, Trócaire suggests keeping track of the success of each activity based upon five categories of success

- 1 Category 1 – Shaping the debate:**
This category captures the impact of any activity which gets the issue ‘out there’ and tends to bring the problem and the change you seek (your objective) to the attention of the decision maker. This could take the form of getting the issue discussed on a radio programme, the publication of a newspaper article highlighting the issue, or through hosting a community dialogue.
- 2 Category 2 – Decision-maker/decision-influencer has increased knowledge of the problem and the changes being proposed:**
Where evidence of the problem and the solution you propose are presented directly to duty bearers in a social accountability meeting, for example, this results in a change in levels of knowledge.
- 3 Category 3 – Decision-maker/decision-influencer expresses a change in attitude/opinion:**
Evidence of changing opinion/increasing support for the change you want includes, for example, what a decision maker says in private, at a public meeting or in a parliamentary debate.
- 4 Category 4 – Decision-maker/decision-influencer takes action to bring about proposed change:**
Any action taken by the decision-maker/decision influencer which bring you closer to your ultimate objective – the change you want to see – can be noted here e.g., agreeing to initiate a dialogue, embark upon a review, halt a practice, table a motion in parliament etc.
- 5 Category 5 – Objective achieved:**
You have secured the ultimate change you seek (CMA Initiative advocacy objective).



Note:

Category 5 success reflects your advocacy aim and objectives: achieving success in the other categories, such as shaping the debate and increasing the knowledge of the decision maker, are signposts which indicate that you are moving closer to your objective.

Tracking success in CMA initiatives more broadly

In addition to the 5 categories of **advocacy** success, the initiative will also produce **enabling** and **monitoring** outcomes, empowering citizens to engage with duty bearers and supporting them to generate new information and/or analysis. For example:

As part of a CMA initiative aimed at improving access to health care in a rural district the community develops and implements a citizen report card activity. The involvement of the community in collecting information using the citizen report results in the production of new data and analysis on the quality of service provided at a local health post (**monitoring and enabling outcomes**). Later, capacity building on public speaking and negotiation forms part of a community workshop in which village representatives prepare to host a social accountability meeting (**enabling outcomes**). At the subsequent social accountability meeting held in the local town with district health officials, the community presents the findings of the citizen report card, generating changes in the level of knowledge and attitudes of the duty bearers/decision makers (**advocacy outcomes in categories 1, 2 and 3**).

Beyond the immediate duty-bearer-focused advocacy objective therefore, these citizen-focused activities at the core of CMA are intended to challenge the power imbalances that lie at the heart of structural poverty and injustice – Trócaire’s ultimate aim in engaging in CMA.

In addition to using the advocacy success tracker to track progress towards the overall CMA advocacy objective therefore, you may also decide to track enabling and monitoring activities and outcomes as part of capturing the overall impact of your initiative.

- There are a variety of ways to measure the **impact of enabling activities** on the knowledge, attitude or skills of individuals and groups, from the use of surveys and questionnaires to observing changes in behavior
- Although the **success of monitoring activities** can be measured by the extent to which they contribute to create advocacy outcomes (eg., by their use in a social accountability meeting as described above), monitoring activities by their nature produce data and records which can be quantified and analysed in different ways. Monitoring activities will also often have enabling outcomes for those who design and implement the process

The *CMA Resources file* on Box contains guidance on tracking activities/outputs, outcomes and impact across the three pillars of CMA.

Learning and adapting

Citizen Monitoring and Advocacy work does not happen in a vacuum, it is inherently linked to an often fast-changing context and it is important that a monitoring and advocacy strategy remains flexible enough to make changes when evidence suggests that such changes are necessary to increase the chances of reaching your objectives. It is therefore important to ensure that we build in time to learn from both our successes and failures – what worked and what did not? And that we adapt to changes in the context. This is only possible when we:

- Give sufficient time to reflect on practice, to identify and share lessons learned
- Allow for changes in your monitoring and advocacy strategy, based on lessons learned or analysis of changing context (e.g by updating the SWOT analysis from Phase 2)



Tool 15 – Activity and Success Tool

For effective ongoing tracking and assessing impact, Trócaire suggests organizing quarterly meetings of those organisations implementing the CMA strategy. These meetings are useful to:

- Discuss overall progress
- Fill in the Advocacy Activity & Success table: partners will contribute with recorded information from activities that happened over the covered period (See Tool 15)
- Review the policy calendar for the upcoming three months – adding details where new opportunities have arisen
- Update /revise the action plan for the upcoming three months including: Activities to be held, Partner/s that will participate (representing the group), Budget for each activity and source of funding

It is important to schedule these meetings into your action plan.



Are you actively supporting women's empowerment?

Here are some guiding questions to ask yourself during this part of the process:

- What will you monitor to track the extent to which gender is mainstreamed in your advocacy work?
 - Do your indicators include gender-specific elements?
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Key output: Activity and success table, adapt strategy & plan

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