

CITIZEN MONITORING & ADVOCACY

**Tools for developing
your strategy**



trōcaire

INDEX

This booklet accompanies Trócaire's Citizen Monitoring and Advocacy:
Step-by-Step Guide to developing your strategy.

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TOOL 1: MONITORING & ADVOCACY STRATEGY TEMPLATE

Phases 1-3 of the Trócaire Step-by-Step guide to Citizen Monitoring & Advocacy involve a series of steps that result in the development of a Monitoring & Advocacy Strategy. We suggest the template below as the way to articulate your final strategy. This will be the reference document guiding the implementation of your CMA initiative.

1. Background: why this strategy <i>[A brief paragraph to give context of how the monitoring & advocacy strategy fits within the wider programme]</i>	
2. Selected monitoring & advocacy issues: context and problem analysis <i>[3-4 paragraphs explaining what the problem is / how it affects the communities who are the intended beneficiaries of the monitoring & advocacy / what the root causes and main solutions are.]</i>	<i>Draw this from the Position Paper developed in Phase 1</i> <i>See Tool 4</i>
3. Aim and Objectives <i>[List the overall Aim, and 3-5 Objectives]</i>	<i>Draw this from the Aims and Objectives agreed in Phase 1</i> <i>See Tool 4</i>
4. The change process <i>[Description of what the policy-making or policy-implementation process is that will be monitored and/or that you seek to change through advocacy: e.g. when and how policies are made or implemented and by who; what information can be monitored effectively, when are the key moments in the policy calendar.]</i>	<i>Draw this from your analysis in Phase 2, step 1 and in Phase 3, step 1</i>
5. Stakeholder analysis and engagement <i>[List the primary duty-bearers/decision-makers who are the focus of your advocacy; and list the other, secondary influencers and allies that you will seek to engage in order to bring about the changes you are seeking. Include your 'influence map' – the key approaches that you will use with the different decision-influencers]</i>	<i>Draw this from your analysis in Phase 2, step 4</i> <i>See Tool 8</i>
6. Action plan & resources <i>[Table list of activities broken down by: objective, activity, date, responsible and budget.]</i>	<i>Draw this from Phase 4, step 2</i> <i>See Tool 10</i>

<p>7. Tracking & assessing impact</p> <p><i>[Identify who will complete the suggested advocacy tracking tool (Tool 15); Include the schedule for quarterly meetings to review progress and revise the strategy and risk analysis]</i></p>	<p><i>Draw this from Phase 5</i></p> <p><i>See Tool 15</i></p>
<p>8. Implementing partners</p> <p><i>[List the names of the different partner organisations involved in delivering the monitoring and advocacy strategy. Give a brief description of each of them, and the role they will play in this strategy.]</i></p>	
<p>9. Capacity analysis</p> <p><i>[Give a summary of the Strengths/Weaknesses & Opportunities/Threats including any actions arising related to building on 'strengths' and/or addressing 'weaknesses'.]</i></p>	<p><i>Draw this from Phase 2, Step 3</i></p> <p><i>See Tool 6</i></p>
<p>10. Risk analysis</p> <p><i>[Include the risk matrix and identified risk management / mitigation strategies.]</i></p>	<p><i>Draw this from Phase 3, step 3</i></p> <p><i>See Tool 11</i></p>

TOOL 2: ISSUE IDENTIFICATION: SELECTION CRITERIA

Adapted from 'Straight to the Point: Setting Advocacy Priorities', Pathfinder International

In step 1 of the step-by-step guide a number of potential advocacy issues will have been identified. These should have been based on for example, issues that have been identified by communities as being a problem; issues that will result in an improvement of people's lives. This tool can help with selecting or prioritising from among the different potential issues.

For each issue that is identified, apply the following 13 criteria, classifying the issue on each criterion as High (best rating), Medium, or Low (worst rating). The list of criteria is not exhaustive, and partners might decide to include additional criteria or to eliminate criteria. This exercise is included to facilitate a debate around the different issues.

1. **Policy change needed is clear:** For an initiative to succeed, organisations must know what kind of policy change is needed. If the advocacy issues are not very specific, it will be harder to design a strong strategy. Clear (High), Somewhat Clear (Medium), Unclear (Low).
2. **Number of your programmes that will be affected by your issue:** If your organisation (and other actors in the area) have a lot of programmes that will be affected by the issue, it is probably a good issue. 4+ (High), 2-3 (Medium), 1 (Low).
3. **Level of effort required:** How much of your time, energy and other resources will be needed? Very little (High), Moderate Effort (Medium), A lot (Low).
4. **Potential for success:** How likely is it that you will succeed? Is your organisation committed to the issue even if likelihood of success is low? Very likely (High), Possible/ Maybe (Medium), Unlikely (Low)
5. **Estimated time required to succeed:** How much time will your organisation need to achieve objectives. 2-3 Years (High), 3-5Years (Medium), More than 5 (Low).
6. **Level of public support for your issue:** If the public is supportive, your chances of success are higher. Supportive (High), Neutral (Medium), Opposed (Low).
7. **Level of policymakers support for your issue:** If policymakers are supportive, your chances for success are higher. Supportive (High), Neutral (Medium), Opposed (Low).
8. **Potential for negative consequences for partners, communities or your organisation:** Will your activities pose risks for partners or communities, put communities or your staff in danger, hurt your reputation, decrease your potential for funding, etc. Unlikely (High), Possibly/ Maybe (Medium), Unlikely (Low).
9. **Potential for positive consequences for your organisation:** Will your activities improve your reputation or help you access new funding? Very likely (High), Possibly/ Maybe (Medium), Unlikely (Low).
10. **Financial, human and other resources to support this kind of monitoring and advocacy work:** It is essential to be realistic about resources. Without the necessary resources success is unlikely. Resources exist now (High), New resources likely (Medium), Resources unlikely (Low).

11. **Partners engaged in this kind of monitoring and advocacy work:** Having strong partnerships is usually essential to success, especially for larger initiatives. 3+ (High), 1-2 (Medium), 0 (Low).
12. **Evidence that the issue is relevant:** Do you have concrete experience and/or other reliable information sources indicating that this is a good issue for monitoring and advocacy? Strong (High), Some (Medium), None/Weak (Low).
13. **Level of importance to your organisation as a matter of principle:** The issue you choose should be in line with your organisation's mission and values. Very Important (High), Somewhat Important (Medium), Not Very Important (Low).

The discussions on the above criteria can be compiled in a matrix such as the one below for easy rating:

Nb.	Criteria	Issue 1			Issue 2			Issue 3		
1	Policy change needed is clear	H	M	L	H	M	L	H	M	L
2	Nb of programmes affected by issue	H	M	L	H	M	L	H	M	L
		

TOOL 3: PROBLEM AND SOLUTION TREE ANALYSIS

The Problem and Solution Tree methodology is helpful to identify the underlying root causes of a problem as well as the impacts of the problem. It can also help segment a problem into more manageable areas in order to decide on the focus of your monitoring and advocacy.

Group participants work on the Problem Tree to identify and analyse the causes and impacts of a problem.

This analysis is converted into a Solution Tree, which helps to identify the potential aim and objectives of a monitoring and advocacy initiative. As a participatory group exercise, the methodology facilitates discussion and debate as participants identify, arrange and re-arrange the various elements of the tree.

To make your Problem Tree

The first step is to name the *central problem*, which forms the trunk of the tree. As part of a monitoring and advocacy strategy planning process, this is the issue that you identified in Phase 1, step 1 of Trócaire's step-by-step guide. Place a sticky note or card with the central problem in the middle of a large piece of paper or board.

The next step is to look at both the *impacts* of the problem (which form the branches of the tree) and the *root causes* that are creating the problem (which form the roots of the tree).

To identify the *impacts* of the problem participants should ask 'what is the consequence?' of the problem. The answer to that question should be written down on a sticky note or a card and added as a branch to the tree. It may be useful to start by discussing and identifying the most direct impacts of the problem (branches of the tree) and then identifying their secondary impacts. When you identify an impact, you ask again 'what is the consequence?' of that impact to get a secondary impact, and keep adding sticky notes or cards until you can't identify further impacts. There should be a direct relationship between each impact. The tree should have a number of branches at this stage.

To identify the *root causes* creating the problem, participants should ask 'why is this the case?' The answer to that question should be written on a sticky note or card and added as a root of the tree. When you identify a root cause, you ask again 'why?', and keep adding sticky notes or cards until you can't identify any more root causes. The tree should now also have a number of roots. See Figure 1 for a problem tree from Trócaire's programme in Uganda. It is useful to have a flip-chart page to note any questions and gaps in knowledge for follow up.

In doing your problem tree analysis it is very important to phrase the problems succinctly but in full sentences and to be clear on the specific nature of the problem. For example

DON'T	DO
Be vague: e.g. 'no infrastructure'	Be specific: e.g. 'there is no water supply to x village'
Include the (lack of) solution in the framing of the problem, as this limits the potential to find different root causes and solutions. e.g. don't say 'we have no money for school fees'	Just name the problem itself: e.g. 'school fees are not affordable'
Frame the problem with a judgement or interpretation, e.g. 'the government is lazy'	Do frame the problem as the specific element you are concerned with, e.g. 'the government is not implementing the land law'

In a partner workshop setting, where Trócaire staff are very familiar with the work it can be helpful to have already prepared a rough version of the problem tree ahead of the workshop, with participants using it as a starting point to move things around, add new root causes and impacts or change the tree altogether.

Once the group has finalised the problem tree, the next step is to convert it into a 'solutions tree'.

To make your Solution Tree

The Solution Tree is the exact opposite or mirror image of the problem tree. When all of the elements of your problem tree have been converted into a solutions tree, it is possible to use the tree to help to identify the aims and objectives for your strategy.

To create the solution tree you look at each of the sticky notes or cards from your problem tree and on a new sticky note or card simply change the language from a negative phrasing to a positive one. You do not try to come up with new ideas for solutions, just re-phrase the problems into solutions.

For example:

Problem statement	becomes	Solution statement
'Women in Acholi land Teso have insecure access to land'	→	'Women in Acholi land and Teso have secure access to land'
'Women have limited capacity to defend their land rights'	→	'Women have the capacity to defend their land rights'
'There is a gap in the law covering the succession of land'	→	'The land law includes a provision on the succession of land'

You should follow the same structure – e.g. the trunk, branches and roots, so that the solution tree is a mirror image of the problem tree. If you are using sticky notes, you could choose to stick the 'solution' over the top of the 'problem' rather than creating a second tree. As there is no analysis involved, in a workshop setting, it may be more efficient for one person to convert the problem tree into a solution tree rather than doing it as a group exercise, and then present the solution tree back to the group for validation and reflection.

Using the Solution Tree to decide Aims and Objectives

If the central problem (tree trunk) that you started with was quite specific, then the solution tree trunk could now be the overall **Aim** of your advocacy. The roots of the solution tree can become potential **Objectives**. The branches of the solution tree, can become the positive impacts that you expect to see as a result of achieving your advocacy.

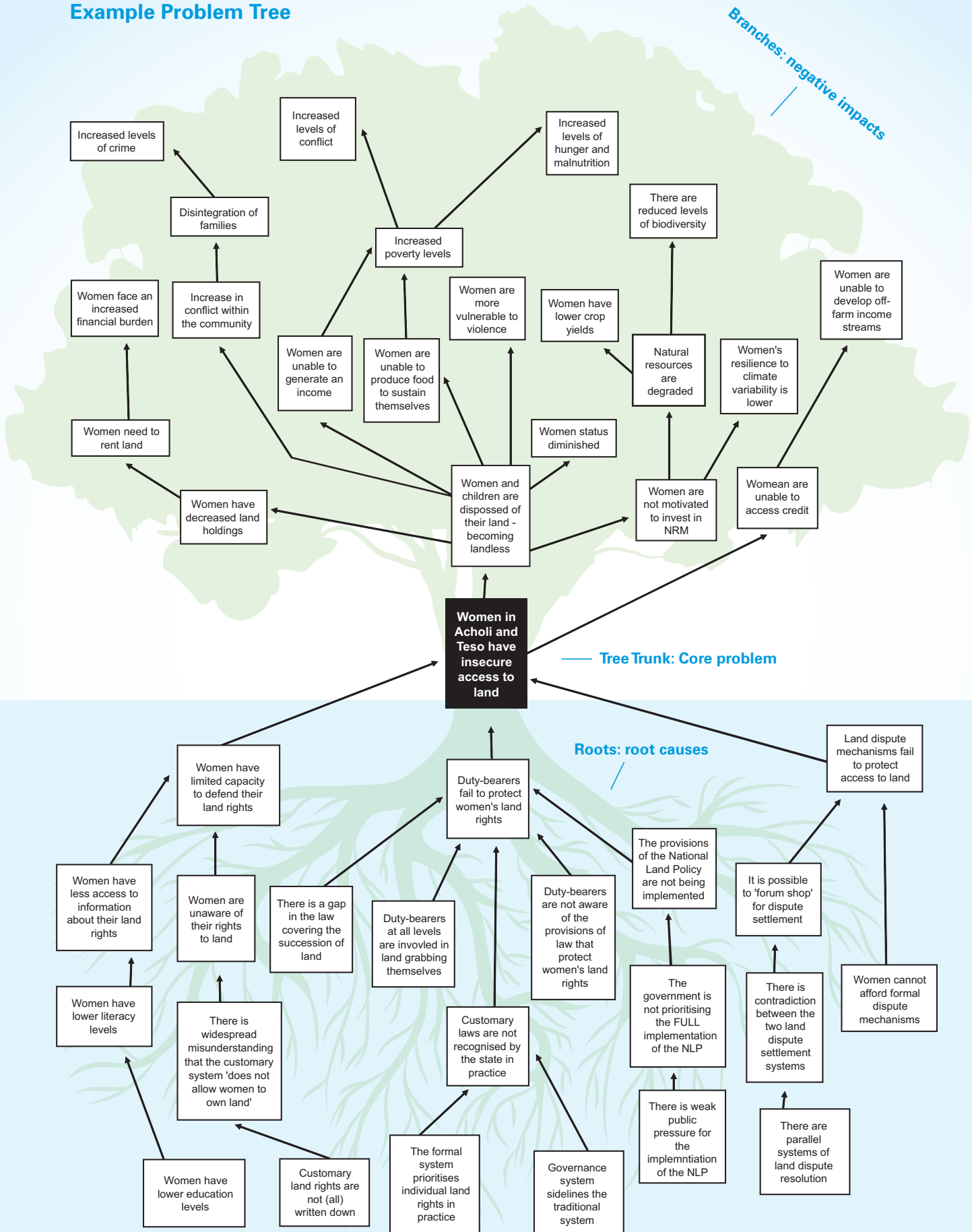
If your central problem was a very broad issue, you may decide that one of the root causes becomes your Aim, with the roots further down the tree being potential objectives.

When you have completed the Solutions Tree, the group can discuss, debate and reflect on whether the branch of the tree seems to be a suitable overall Aim for your advocacy, and discuss which of the whole range of potential 'roots' are suitable potential Objectives to focus on.

A few questions which may be useful are:

- Does the problem tree reflect the reality of the situation?
- Are all the different economic, political and social/cultural dimensions represented? (gender, ethnicity in particular)
- What part of the problem will we focus on? (Using the criteria from Step 1 of the step-by-step guide to decide aim and objectives)

Example Problem Tree

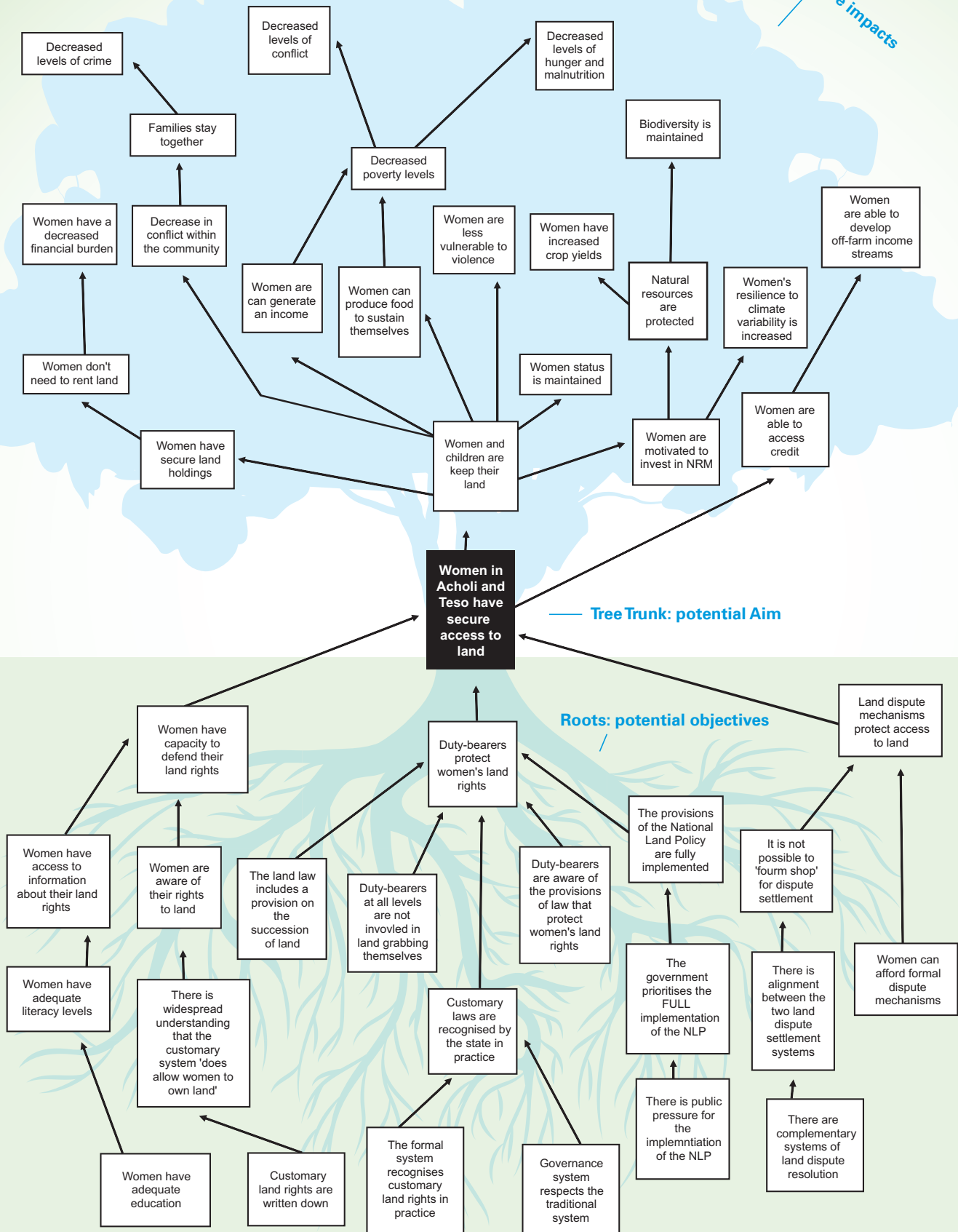


Example Solution Tree

Branches: positive impacts

Tree Trunk: potential Aim

Roots: potential objectives



TOOL 4: POSITION PAPER TEMPLATE

Problem:

Key effects:

Root Causes:

Main Solutions:

Aim and (3-5 max) identified Objectives:

Monitoring and Advocacy Aim:

Monitoring and Advocacy Objectives:

O1 –

O2 –

O3 –



TOOL 5: PESTLE ANALYSIS

Adapted from Care International Advocacy Handbook

A PESTLE analysis can promote a systematic understanding of the wider context. PESTLE stands for: Political, Economic, Social Technological, Legal and Environmental factors or trends.

Political: What are the relevant political factors and trends in the country (including the government, legislature, control/lack of control over the judiciary, as well as other political movements and pressure groups)? Consider also how they are responding to relevant international standards (e.g. treaty commitments, membership of regional bodies).

Research what ministers and prime ministers/presidents are saying. Review their recent speeches and monitor whether they have made relevant commitments in electoral manifestos or government plans and whether they have delivered on these commitments. It is also worth reviewing relevant ministry publications such as policy papers to see what targets have been set, whether they are in line with agenda and whether they are being met.

Party politics may also have a bearing on decision-making. It's important to review relevant debates in Parliament to see whether there is agreement for the government's position. It's also important to identify which political actors are likely to oppose your proposed agenda and to consider your response.

Economic: What are the economic factors and trends in the country (including where the government gets its money, the main private sector employers, income distribution and levels of poverty)? Resources are often contested, so it's important to analyse the main sources and levels of revenue for the government or in the sector you are targeting to chart budget trends and ultimately what is economically feasible. It's also worth considering potential capacity constraints for civil servants or service providers.

Social: What are the relevant social factors and trends in the country (including demographic information, education and health statistics, employment rates, land ownership, media freedom, religious affiliations of different parts of society)? Consider the key factors contributing to poverty and gender inequality.

Technological: What are the technological factors and trends in the country (including information technology, infrastructure, access to telecommunications and broadcast media, etc.)?

Legal: What are the legal factors and constraints that are relevant to your issue? Your proposed agenda is likely to have some legislative precedent, so it's important to review articles in the constitution, laws, policies and plans relevant to the issue. Reforms may have already been attempted, so it's worth analysing the history of these reforms and identifying current bottlenecks. It's also important to identify whether oversight bodies such as Human Rights Commissions or Ombudsmen have a mandate to take action, and whether indeed they are actually taking up cases relating to the issue.

Environmental: What are the major environmental trends in the country (including deforestation, pollution, drought/flooding, agriculture, etc.)? How much does climate change affect the issue on which you are considering monitoring and advocating on? If it is a factor, how can your response take it into account?

How to use the PESTLE

1. List the external factors which could affect the cause or consequence of the problem identified in the above categories.
 2. Identify which of these may be most significant – either as opportunities or threats. Think about how they affect women and men differently.
 3. Agree on **the five key trends** that are most important for the issue.
 4. Undertake further research on these five if needed.
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TOOL 6: SWOT ANALYSIS

NOTE: This guide is aimed at SWOT analysis as part of the Advocacy Cycle. A SWOT analysis can be done at different levels but this is targeted specifically as a tool to help in the early stages of creating an advocacy strategy.

What is it?

A SWOT analysis involves the collection and portrayal of information about internal (Strengths and Weaknesses) and external (Opportunities and Threats) that shape your ability to carry out your proposed monitoring and advocacy work and how successful it may be (either in general or on a specific theme).

How is it done?

SWOT analysis is a simple tool. All you need is flipchart paper, a blackboard or similar surface onto which you will draw and populate your SWOT analysis. You should do this analysis as a group exercise, where you brainstorm and discuss what should be included in the different parts of the SWOT. It is important to have a frank and open discussion to ensure the SWOT includes the most important and influential (positive and negative) factors.

Why is it useful?

A SWOT analysis helps you develop a full awareness of all the factors that impact your ability to achieve your aim and objectives.

It has 5 key benefits:

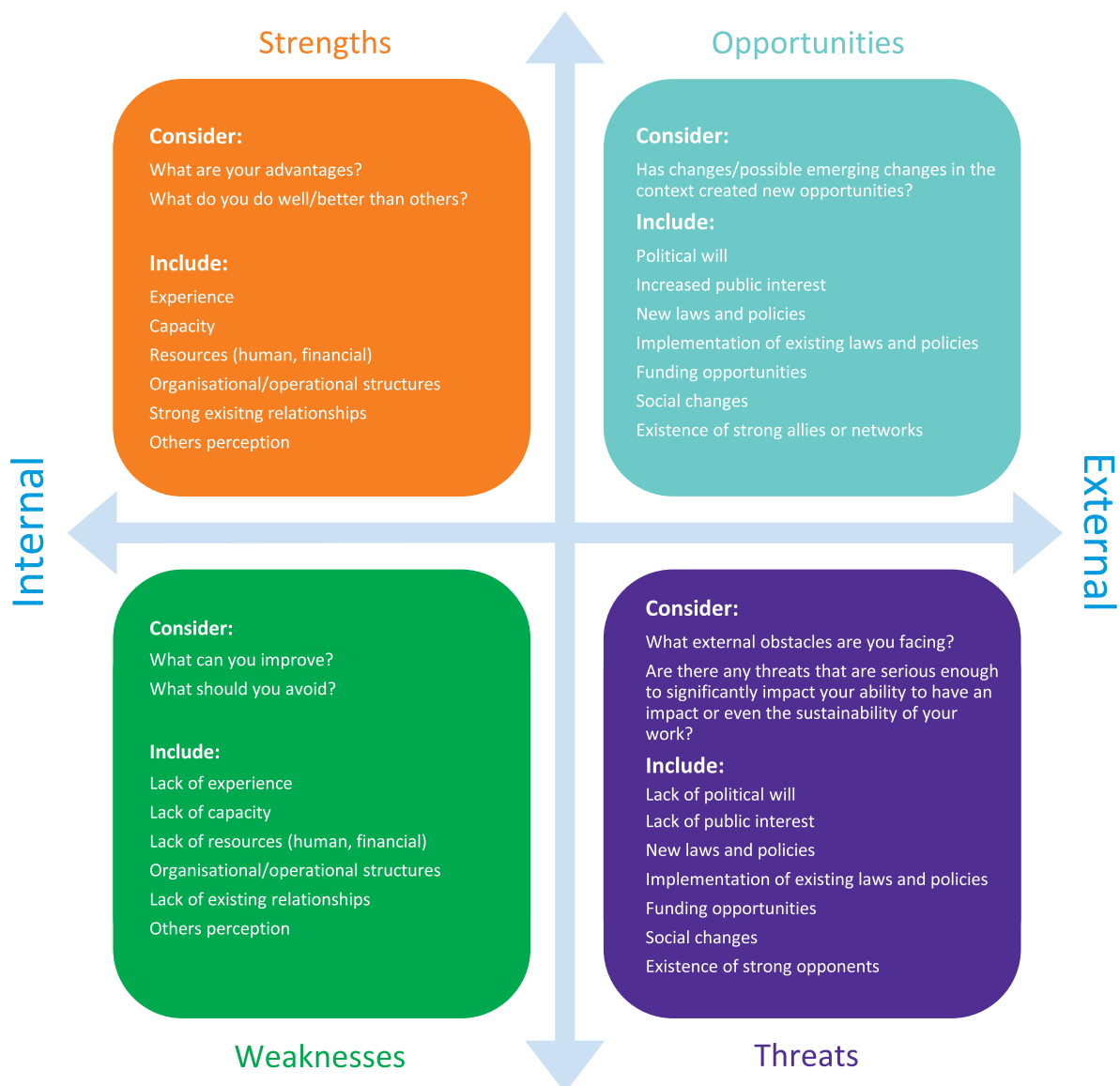
1. Simple to do and practical to use
2. Clear to understand
3. Focuses on the key internal and external factors affecting the your ability to reach your objective
4. Helps to identify aims
5. Initiates further analysis

Limitations:

Although there are clear benefits of doing the analysis, it is important to be aware of its limitation:

- Excessive lists of strengths, weaknesses, opportunities and threats: *Too long a list may make it difficult to get the overview the tool is intending to provide.*
 - No prioritization of factors: *The tool does not include a prioritisation (although this can be done at a later stage).*
 - Very broad description: *factors are sometimes described very broadly.*
 - Subjective: *Some factors are very subjective and rely on opinions not facts.*
-

SWOT analysis – visual representation



Key tips to using the tool:

- Be as precise as possible. Avoid describing factors too broadly or vaguely
- Make sure that you take the information (and overview) generated by the tool and apply it through to later stages of planning your strategy.
- Apply it at the right level – for example, you might need to apply the tool for a specific thematic issue rather than the broad context.
- Do a PESTEL analysis first to get a preliminary understanding of the external context before you undertake your SWOT analysis
- Do the SWOT as a group exercise and make sure the right (relevant people) are included.

TOOL 7: WORKING COLLABORATIVELY

Adapted from 'An Advocacy Toolkit', Plan International

Working with other organisations that have the same aim can help you accomplish aims that you could not accomplish alone.

What to consider when looking for allies

- Who is doing what already? If something is already being done, get involved or involve them. Their gain is your gain, and vice versa.
- Look at your stakeholders and your stakeholder analysis: are there existing allies that could increase in influence if you worked more closely together?
- Join networks to make contacts and get access to information and resources.
- Outreach – Bring people together to find out what you're doing, ask questions and see if they want to get involved.
- Be creative – Just because you are working on an education project doesn't mean you have to partner with education organisations or NGOs. Some of the best partnerships are between completely different types of organisations that combine their strengths to create something exciting and influential.
- Long or short term? Are you looking for a long-term partnership or someone you can work with for the short term, just for a one off event for example.

Below are some positive and negative thinking points of forming coalitions, as well as some lessons learnt / best practice for working effectively in networks:

Strengths	Challenges	Lessons learnt/good practice
Complementary skills working as team	Time consuming	Agree a very clear objective
Increased capacity to achieve goal	Coordination can be challenging	Clearly define roles and resources
Louder voice	Inconsistent engagement by members can make collaboration difficult	Develop clear outcomes – especially short-term/time-bound objectives
Enhanced credibility and influence of a campaign	Unequal strengths – potential for stronger members to dominate	Agree clear expectations of group members
Increased reach/coverage	Potential conflicts of interest	Ensure effective group coordination and communication
Support to each other – solidarity		Consistent representation by group members
Better access to key people (due to more contacts through the wider group)	Potential hidden agendas of members	
Increased security in numbers	Lack of agreed rules can make things challenging	
Potential for greater innovation	Moving at the pace of the group may be slower than when working alone	
Reduces duplication of effort and resources	One member can subvert the work of the group	

TOOL 8: STAKEHOLDER ANALYSIS

Adapted from SCIAF's Manual for Global Advocacy Practitioners

A stakeholder analysis helps you to identify all of the individuals or groups that you will engage with during your monitoring and advocacy – either as the duty-bearers/ decision-makers you are seeking to influence, those who have influence with them or forming (or collaborating with) other organisations, partners and alliances who are key for the successful implementation of your advocacy strategy.

There are many ways of working with others on monitoring and advocacy including: networks, alliances, coalitions, associations, forums, partnerships, task forces and umbrella bodies. When developing a stakeholder analysis, it will also be important to analyse who the decision-makers and influencers are, and which organisations / individuals could collaborate with you as partners, and which ones will be opposed to your monitoring and advocacy work.

A simple methodology to carry out a comprehensive stakeholder analysis is described below:

1st Step – Carry out a brainstorming exercise of all possible actors that have or might have an influence on achieving your objectives. This brainstorming will likely include Civil Society Stakeholders (including Church and faith organisations), Public Sector Stakeholders and Private Sector stakeholders, for example from the categories listed below.

Civil Society Stakeholders	Public Sector Stakeholders	Private Sector Stakeholders
Affected communities	Ministers and Ministerial advisers	Corporations and businesses
Media	Civil servants and government departments	Business associations
Churches	Elected parliamentary representatives	Professional bodies
Other religious/ faith groups	Judges and courts	Individual business leaders
School, colleges and universities	Political parties	Chambers of commerce
Social movements	Local government councils	Social entrepreneurs
National and International NGOs	Military	Donors
Trade Unions	UN	Financial Institutions
Alliances, Networks, Coalitions	EU	
Intellectuals and Writers		

2nd step – Divide the above stakeholders into the following two groups:

Duty-bearers/decision-makers: These are the people who have the power to make the necessary changes that you are seeking. These are your primary stakeholders as they are who you ultimately need to influence. You will most likely only have between one to three primary duty-bearer/decision-makers for your strategy.

Decision-influencers: these are all the other stakeholders, who exert influence with the primary decision-maker/ duty-bearer. Decision influencers can influence the decision either positively or negatively, so it is important to try to understand who are your likely allies or opponents and how much influence they have. To do this you build an 'allies and opponents matrix'

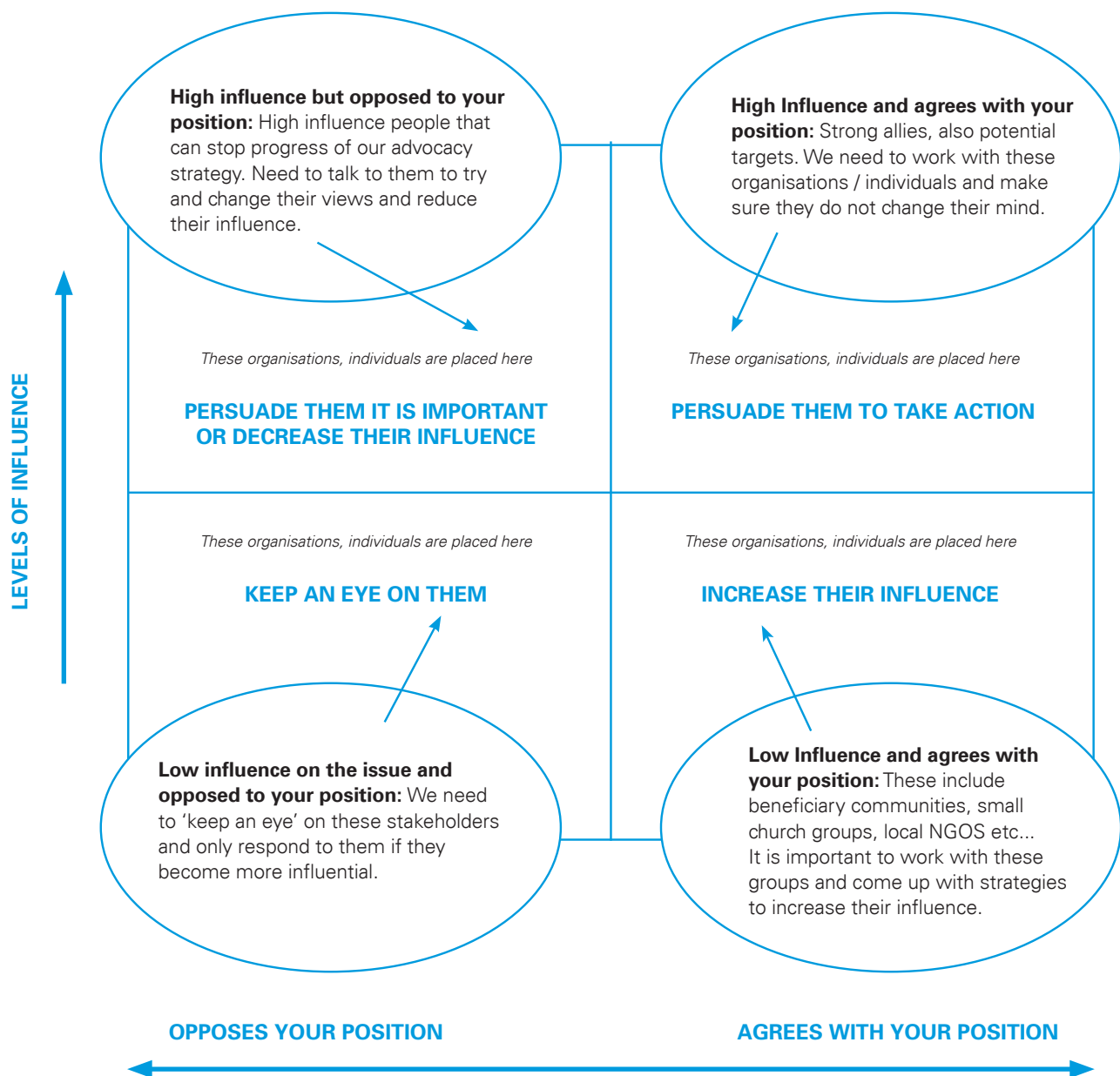
3rd step – Develop an Allies and Opponents Matrix

This matrix will make it easier to see who among the decision influencers you have identified is supporting your views (allies), who is opposing your views (opponents) and what level of influence they have with the key decision-maker/duty-bearer. The matrix is useful as it will help you decide which allies and opponents to engage with, for what purpose and how.

Step a: Draw a matrix divided into four equal sized squares.

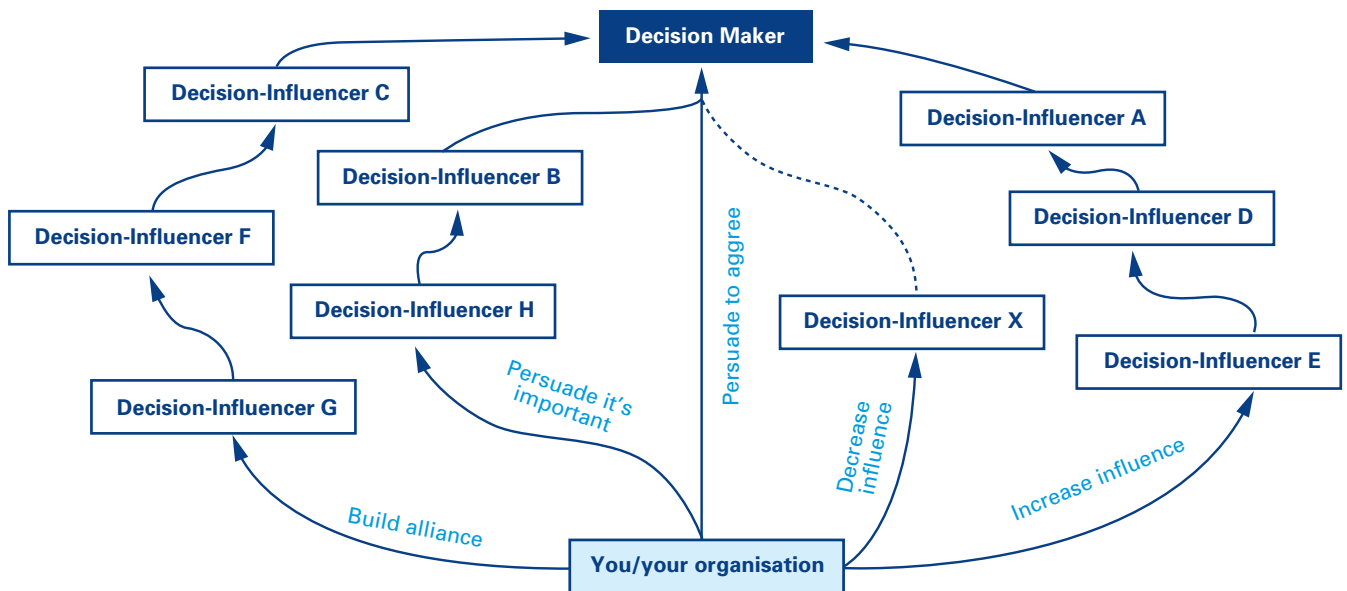
Step b: Write all the decision-influencers identified in your brainstorm on sticky notes or cards.

Step c: Place stakeholders on the matrix. Opponents will be to the left, Allies to the right. Neutral individuals / organisations will be in the middle. The more influence the stakeholders have the higher they should be placed on the matrix. If you are not sure where a stakeholder should go make your best guess, or if you really have no idea, keep a separate sheet for 'do not know' that you can follow up on later.



The four quadrants in the matrix will inform what approaches you should take to influence the decision-makers and decision-influencers.

4th step – The final step is to take each key decision-maker/duty-bearer and to build an influence map around them by mapping which influencers influence each other, and ultimately the decision-maker. You can then decide which approaches to take with the different decision-influencers in order to influence the decision-maker. See the diagram below.



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

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

TOOL 9:
POLICY CALENDAR TEMPLATE

Brief description							
Name of external policy or decision-making moment (e.g. UPR hearing, budget submission deadline)							
Month/Day							
Year							

TOOL 10: MONITORING & ADVOCACY ACTION PLAN TEMPLATE

Objective 1	Activity	Date	Responsible Person / Team	Budget
Objective 2	Activity	Date	Responsible Person / Team	Budget
Objective 3	Activity	Date	Responsible Person / Team	Budget
Cross Cutting	Activity	Date	Responsible Person / Team	Budget

TOOL 11: RISK ANALYSIS

Adapted from 'An Advocacy Toolkit', Tearfund

Given the sensitivity and complexity of many of the issues that organisations deal with, it is essential that monitoring and advocacy work does not put communities, staff or programming at risk. The following tool can help to identify and deal with risk.

Steps to carry out a Risk Analysis:

1st Step: Identify threats

The first step is to identify potential threats, making sure that none of them are overlooked. This can be done by:

- Working through a checklist, such as the one below, and noting the applicable threats.
- Deliberately trying to spot areas of vulnerability within a monitoring and advocacy plan, for example in relation to specific relationships, systems, structures, etc.
- Consulting with different people including identified stakeholders who might have different perspectives about the likely impact of threats.

Potential types of threats include:

Types of risk	Description
Risk to people	If Trócaire or its partners decide to speak out in a difficult 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 communities, staff or partner staff, such as violence, threat of violence, detention and even death threats. This risk can also be targeted at friends or families of staff or people in the communities affected by the issue
Risk to reputation	Some aspects of monitoring and advocacy work happens 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 on Trócaire and partner's reputation
Risk to property	As with risk to people, advocating on sensitive or controversial issues could lead to threat against organisational or personal property such a forcible closure of buildings, confiscation of documents and IT equipment and theft
Risk to legal status / operability	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 Trócaire and partners have adopted on an issue

2nd Step: Estimate severity and likelihood

The second step is to work out the severity and likelihood of each threat being realised and to assess its impact. One approach to this is to rate each risk from 1-4 as explained below:

Severity could be rated as per the table below:

1	2	3	4
Little or No impact	Minor impacts to people, property, reputation etc.	Moderate impacts on people, property, reputation etc.	High impacts: severe impacts on people, property, reputation etc.

Likelihood could be rated as per the following table:

1	2	3	4
Rare	Possible	Likely	Almost certain

Trócaire's approach to risk is to multiply the score for severity by the score for likelihood in order to give an overall risk score. It is important to discuss each risk individually (once they have been rated) and to prepare the 'mitigation strategy' – actions or interventions to reduce the likelihood or manage the outcome of the risk or the set of risks that come out with the highest scores (e.g. approximately the top 5 risks).

A comprehensive risk table for discussion could look like the one below:

Risk	Severity	Likelihood	Overall risk score	Mitigation strategy to reduce risk
Risk a	Rate from 1-4	Rate from 1-4	Severity x Likelihood	
Risk b	Rate from 1-4	Rate from 1-4	Severity x Likelihood	
Risk c	Rate from 1-4	Rate from 1-4	Severity x Likelihood	
Risk d	Rate from 1-4	Rate from 1-4	Severity x Likelihood	
.....	Rate from 1-4	Rate from 1-4	Severity x Likelihood	

3rd Step: Manage risks

The third step is to work out ways of managing the risks while acknowledging that some will remain high despite your best efforts. Risks can be managed in many ways:

By using existing resources: Improvements in existing methods and systems, changes in responsibilities, improvements to accountability and internal controls, etc.

By contingency planning: This involves deciding to accept a risk but choosing to develop a plan to minimise its effects if it happens. The plan allows for immediate action in the event of the risk occurring and a crisis management situation.

By investing in new resources: This involves deciding whether to bring in additional resources to counter the risk, or even insuring against the risk.

4th Step: Regular reviews

The fourth step is to carry out regular reviews. This might involve formal reviews of the risk analysis, perhaps each time there are changes in circumstances and during every monitoring meeting. It might also involve adapting plans, allocating additional budget or alerting external contacts.

TOOL 12: IAN CHANDLER'S GUIDE TO LOBBYING

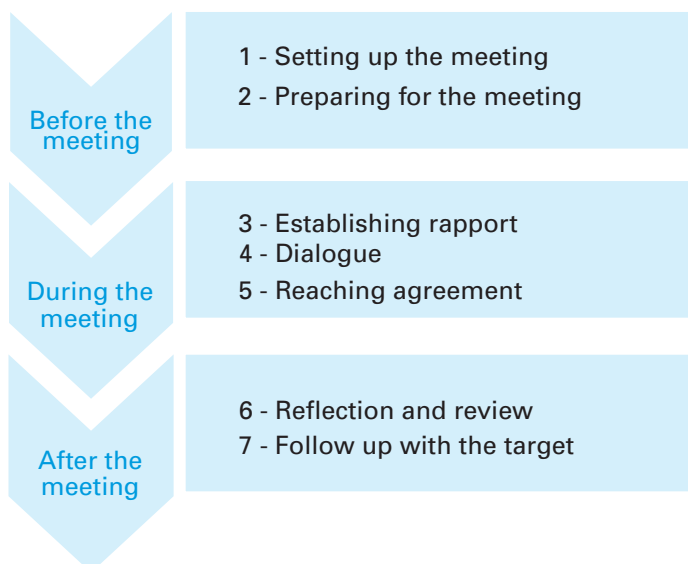
Adapted from the Pressure Group Mini-Guides

Lobbying

Lobbying is the process of influencing an individual (the decision-maker or some other influential person) through directly engaging with them, usually through a face-to-face meeting but sometimes over the phone. The key feature of lobbying is it involves a two-way dialogue.

Not all monitoring and advocacy strategies will include direct targeting of high-influence individuals, but when they do it is likely that lobbying will be one of your influencing tactics with that target. The stakes can be high in a lobbying meeting, so it is important that they are planned and conducted effectively.

There are seven steps to effective lobbying:



Just as lobbying is only part of the monitoring and advocacy process, so an individual lobbying meeting is only one part of the lobbying process. Here we look at what is involved with a single lobbying meeting; it assumes that the overall objectives for your monitoring and advocacy are clear, and that you have an influencing strategy that sets out a rationale for targeting this individual.

BEFORE THE MEETING

1) Setting up the meeting

The meeting could be arranged in advance or it could happen by chance.

- Pre-arranged meetings will often happen at the office of the lobbying target, although other locations may be possible such as in the fringes of a conference or at an official visit to one of your projects.
- Chance meetings could be at a social event, in the buffet queue at a conference, at an airport or in an elevator. The meeting might not be completely accidental – if you know where your target is going, you may try to be there at the same time and create a 'chance' meeting.

Knowing who and when to meet

As stated above, lobbying is just one part of the monitoring and advocacy process. To get agreement from the target for a lobbying meeting will usually be as a result of other monitoring and advocacy activities that you have already done – activities that have put your issue on the agenda and established your credibility and power.

If lobbying a government ministry, it is usually easier to get agreement to meet first with more junior officials, and then gradually work your way up the hierarchy by getting each lobbying target to help arrange meetings with the next level up. In this way you can build understanding and support from sympathetic officials as you move up so that, by the time you get to the political decision makers and controllers of budgets, you have a broad base of institutional support behind you.

However, if the most senior/key decision-maker already regards you as an influential actor, it may be better to arrange a meeting with them at an earlier stage to get them to direct their officials to work with you. The danger with this approach is that if your direct influence is not as strong as you thought it was, the meeting with the key decision-maker may simply be as protocol meeting that has little meaningful dialogue and no action coming out of it. Many lobbying meetings fail because they take place too early in the monitoring and advocacy process, before real power and widespread support has been established.

Making the appointment

Whoever you are trying to meet, when you request a meeting you will also have to explain the purpose – the topic for discussion, why you want to meet them and why it would be valuable for the target to meet you. This will probably require you to highlight your credentials and sources of power.

The more senior the target, the more likely it is that they will only meet you with their subordinates present to support them. It is helpful if you can find out when making the appointment who they will be. Try asking who else has been invited. If you are meeting more than one person, you need to decide whether you should go alone or take one or two other people with you.

Creating opportunities to meet

If you are trying to engineer an 'accidental' meeting with someone with whom it would be hard to arrange a formal meeting, you need to identify potential scenarios where you and your target will be at the same place at the same time. If possible, arrange for a mutual friend to introduce you at that place.

2) Preparing for the meeting

The key to successful lobbying is preparation:

Be clear why you want to influence this person

- What could they do, and what do you want them to do?

Decide what you want from this meeting

- Ideally, you will want them to agree with all of your demands, but this is unlikely to be achieved in one meeting, so you need to be clear about what your priorities are as well as your bottom line – the minimum response from the lobbying target that is needed for you to continue the process.
 - This might involve, for example, a second meeting, an agreement to visit your project, or a commitment to take some intermediate action.
 - You might also want to set yourself goals of gathering information from the target on their position and priorities and the positions of others.
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Know your target

- What do they know and believe about the issue and you?
- What are their priorities?
- What type of personality do they have?

Prepare and rehearse your arguments

- Identify your sources of power.
- What are the arguments most likely to succeed with the targets? What evidence do you have to support these arguments?
- What counter-arguments are they likely to put forward and how will you respond to them?

Agree your roles and who will say what

- Don't feel that everyone in your delegation should have an equal say, even if they come from different organisations within your network. One person should take the lead, with others there to respond to specific questions or issues. Too many speakers means not enough time for listening.
- Make sure you are dressed appropriately.

3) Establishing rapport

You must arrive on time for the meeting, even if the target then makes you wait.

When you are invited in to meet the target, greet them warmly and politely, ensuring that everyone is properly introduced (exchanging business cards is helpful if you have them) and that their credentials (sources of power) are subtly referenced.

You then need to follow established protocol and quickly establish some form of rapport. How this is done varies widely from culture to culture.

- In some societies, it is expected to drink tea and talk about mutual contacts or unrelated events for some time before it is considered polite to start talking about the subject of the meeting.
- In other contexts, this 'grounding process' is expected to be much quicker, and a lengthy pre-amble will be regarded as time wasting.

If you are an outsider to the culture of your target, take advice from an experienced local.

The purpose of this rapport-building process is to ensure that everyone is relaxed and comfortable and thus more likely to listen openly and engage in genuine dialogue.

At some point, the target will probably indicate that the formal part of the meeting is to begin by either addressing the topic directly themselves or by inviting you to speak.



4) Dialogue

The meeting should all be about dialogue, so you need to listen to the targets as much as you speak to them.

- The main thing to remember is that you are not trying to win an argument; you are trying to influence the target and reach an agreement. If you try to prove yourself cleverer or better informed than the target by winning an argument, it is likely that you will lose in the long run by creating an enemy.
- Targets will only change their viewpoints if they know that they are being heard and their motives are respected. Lobbyists need to be assertive to ensure that their arguments are put forward, but not aggressive.

If invited, you can begin by briefly stating your case – a summary of the issue and what you want from the target. You shouldn't spend long doing this – a minute or two at most – as the target probably knows all this (or they wouldn't have agreed to meet you in the first place). The purpose is to set the scene for the dialogue to follow.

Listen to their response (including any non-verbal signals). Probe them for more details if you don't understand their position or arguments.

Answer their objections, but keep focussed on your priorities and what you want them to do (don't get distracted or side-tracked).

Keep calm.

Pick up on any openings they are offering you.

Explore different options.

If it is appropriate, take notes of what is said.



Be ready to counter the blocking tactics used by the people you are lobbying: delaying, disputing evidence, passing the buck, challenges to your legitimacy or objectivity, divide-and-rule, side-tracking, distracting, intimidating and provoking. And don't be taken in by flattery and empty promises.

5) Reaching agreement

It is important that you before you leave the meeting, something is agreed that will enable the lobbying process to continue. If nothing is agreed, then the process is over and you are back to square one (or even worse, as it will now be harder to get another meeting).

So, when you are half-way through the scheduled time for the meeting, you need to ensure that the focus of the conversation is on what you want the target to do and agreeing the next steps.

This may involve exploring and negotiating some compromises, using "if...then" language – ie, "if you agree to visit our project and meet the people affected by the current policies, then we can arrange for some journalists to be present" or "if you instruct your team to review the current policy, then we can bring in some of our experts to support them".

At the end of the meeting, sum up what has been agreed. If your bottom line hasn't been reached and nothing agreed, then you need to take the action that you had planned to take in this circumstance.

AFTER THE MEETING

6) Reflection and review

The first step is for your delegation to de-brief among yourselves:

- De-brief immediately (before you go back to your office or community)
- Review what was said and gauge potential for further movement
- Plan your next steps
- Give each other feedback

Then you should write up the notes of the meeting and circulate them to your colleagues and network partners as appropriate (balancing the needs of confidentiality and transparency).

7) Follow up

You should also write straight away to the people you met, thanking them for the meeting and confirming in your letter what was agreed at the meeting. In this way, you are putting the agreements on the record and making it harder for the targets to change their minds.

If you agreed at the meeting to do something, make sure you do it promptly and well.

You can then plan your next meeting or influencing activity.

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TOOL 13: CAMPAIGN METHODS

Adapted from SCIAF's Manual for Global Advocacy Practitioners

Positive	Method	Not so positive
Getting noticed, showing strength, easy for a big group to participate (including children), bringing groups together, motivating supporters	Rallies and Marches Groups of people walking through the streets	Potential safety risks for many of our partners in many contexts Prone to be hijacked by other interests
Raising awareness, building support locally	Public stalls and exhibitions Display of graphic and visual material on the cause you are advocating for	If it's not dynamic and engaging it could lack participation
Getting media coverage, raising awareness, having fun	High profile stunts Unusual actions which draw media attention to your cause, such as street drama	Can be difficult to link to clear advocacy asks Can go wrong and look unprofessional, if very controversial public might be hostile
Outreach to new audiences, raising awareness, including a diversity of voices	Performances Concerts, theatre	Can go wrong and look unprofessional, if very controversial public might be hostile
Involving the wider community, getting views and ideas from the public, holding decision-makers accountable	Public Meetings People brought together for a debate	Possibility of disruption
An outlet for resistance, forcing an issue on the agenda and forcing a conversation	Non - violent direct action Occupations disruptions, street marches, protests	Could place general public against us if confrontational or very disruptive
Raising awareness and understanding, getting conversations started, hearing from different stakeholders	Talks and Presentations Organised informative sessions	Risk of getting boring and heavy if not made dynamic and fun
Putting pressure on decision-makers by showing support, give large numbers of supporters a way to contribute easily	Petitions People sign petitions or a post-card to be posted to decision-makers	If impersonal, could be ignored by decision-makers (there is a need to register names); With growth of on-line petitions, can be ineffective without huge numbers
Changing the public debate, challenging people and groups who act against our cause	Culture Jamming Creatively subverting and challenging mainstream media messages.	Provocative, challenging, could be misunderstood
Easy to set up, free (or cheap), flexible and responsive, can get many people involved	Social Media Campaigns Using social media websites to raise awareness, or sign petitions	Might be perceived as impersonal, excludes those without internet

TOOL 14:

ADVOCACY INDICATOR GUIDE

Understanding and Implementing Trócaire's: Advocacy Global Indicator

Global Indicator

1.1.1

Evidence of successes achieved by Trócaire, partner and/or programme participant advocacy in the design or implementation of policies, laws or practices by state and non-state institutions

What does and doesn't this indicator measure?

This indicator captures the successes achieved when aiming to change a policy, law or practice. The indicator captures both the final result(s) of monitoring and advocacy work and the successes that happen along the way.

Trócaire has developed five categories of advocacy success that should be used when measuring advocacy success (see diagram on the next page).

This indicator tracks advocacy successes across all five categories of success.

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. Decision-maker/duty-bearers and Decision-influencers have increased knowledge of the problem and the changes being proposed: increased awareness and knowledge among the Decision-makers and Decision-influencers of the problem and solutions you propose, for example as a result of meeting with and sharing your analysis and proposals. For 'success' in this category, the Decision-makers and influencers do not need to support the changes that are proposed, but it is still a success if they are now aware of what the problem is and what needs to change.

3. Decision-maker/duty-bearers and Decision-influencers express a change in attitude/opinion: evidence of changing opinion / increasing support by the Decision-maker and Decision-influencer for the changes you are proposing, for example what a decision maker says in private, at a public meeting or in a parliamentary debate. For 'success' in this category, Decision-makers or influencers are saying that they want to see changes in policies, laws or practices, even if they haven't yet taken any action to bring about such changes.

4. Decision-maker/duty-bearers and Decision-influencers have taken action to bring about proposed changes: This category focuses on any actions taken by the Decision-maker or influencer that brings you closer to achieving the objectives of your strategy, for example agreeing to initiate a dialogue, embark upon a review, halt a practice, table a motion in parliament, or to allocate a budget.

Importantly, this level of success is not concerned with actions taken by Trócaire, partners, or community members, but by the decision-maker or decision-influencer who is the focus of your advocacy.

5. Objective achieved: You have secured the change in the policy, law or practice as set out in one or more of the objectives in your strategy.

This indicator can be used to measure advocacy results at any level – community, district or national. It can also be used to measure advocacy with non-state actors (for example, employers, or extractive industries). It has the potential to communicate a significant amount of information and provide rich insight into a programme.

This indicator is **not** intended as a means of measuring or reporting on advocacy activities (such as trainings, or research). It is focused on evidence of change, not activities or outputs by Trócaire, partners or programme participants.



Change is rarely linear and can happen unexpectedly. It is not expected that advocacy results happen orderly from Category 1 all the way through to Category 5.

At any stage successes may be achieved in any category.



In many situations maintaining the status quo (preventing a situation from getting worse) is an important success. These five categories are not just concerned with positive change, but also with preventing negative change.

E.g. slowing down the passing of harmful legislation, preventing a negative project from going ahead, or reducing damaging practices.



Applying the Indicator throughout the Programme

The methodology and tool to measure this indicator are simple, but do require an understanding of the categories of success and some planning and commitment to reflection and learning.

Guidance is laid out in 5 steps to make this a useful tool for your work



1. Stop! Do you have a monitoring and advocacy strategy?
2. Make the indicator specific to your advocacy aim
3. Baseline
4. Setting targets
5. Monitoring

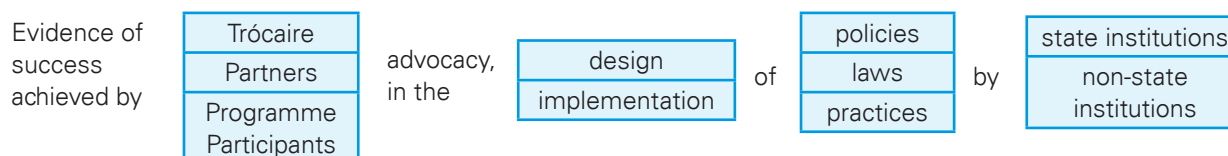
1. Stop!

To make the best use of this methodology and tool, the Programme should have a monitoring and advocacy strategy with clear Aim and Objectives in place.

2. Make the indicator specific to your programme

The wording of the indicator is long and complex so that it reflects the many different contexts and problems that monitoring and advocacy will address.

If you wish you can make the indicator more specific to your monitoring and advocacy work, remove reference to any actors or successes that are not relevant. You can also add a reference to the specific policy, law, practice or institution that is the object of your monitoring and advocacy.



To make a more specific version of this indicator select one or more options from **each** of these boxes based on your advocacy Aim and Objectives.

3. Baseline

This indicator focuses on *successes achieved by a programme*, and so at the time of the baseline there will not be any successes to report.

Instead of successes the baseline should focus on the current status of the law, policy or practice that the programme seeks to change. If possible, some reference to the context will enhance the external readers' understanding of the targets and reporting (e.g. providing a sense of how challenging the advocacy aim might be). This can of course include reference to previous advocacy successes achieved.

For a meaningful baseline it is very important that the programme has clarity and understanding of the change it is aiming to bring about.

The baseline process for this indicator can be very light: information can usually be obtained from secondary sources (e.g. *policy briefs, newspapers, draft bills or laws*) and interviews with key informants (*such as partners, government and state staff, network members working on this or similar issues*). A lot of this information will have been gathered from when conducting your context analysis and developing your monitoring and advocacy strategy.

In a results framework or log frame the baseline should summarise the information above in a few sentences.

4. Setting targets

Targets for this indicator are written as several short sentences, organised under the 5 categories of success (see example from Myanmar)

The end of programme target should be the same as the objective of your monitoring and advocacy strategy (unless the period of your strategy goes beyond the programme).

Annual programme targets should be based on the expected path of change outlined in your monitoring and advocacy strategy.

Usually, earlier targets will focus on categories of success 1, 2 and maybe 3. If you are aiming for success in categories 4 and 5, these are often not expected until later in the programme.

Good advocacy work will react to learning and changes in context by adapting. While the end of programme target will likely stay the same, it is expected that annual targets can change during the programme – based on evidence.

5. Monitoring

The monitoring process uses the 'Advocacy Activity and Success Tool' to document advocacy activities as they happen, and document advocacy successes as they arise. Please refer to Tool 15.



Documenting Successes: When successes occur they should be documented in the tool beside the activity that led to the success. If a success was the result of many activities it can be documented beside the most recent activity. Both expected and unexpected successes should be documented.

Each success should be categorised, and entered into the tool under the relevant heading (see below for examples).

An activity may lead to one, many or no advocacy successes.

Some successes may arise directly after an activity, some may take a while to appear.

There may not always be a clear evidence that an activity directly caused a success. When this happens, if you believe the success is a result of your monitoring and advocacy activities, document the success and any evidence that you do have.

Below is an example of how the indicator can be applied, based on Myanmar's Resource Rights work. Myanmar's advocacy strategy works with local civil society partner organisations to address the key problems of insecure access, use and control of natural resources. A community mobilisation based approach is used towards securing and defending community natural resources, as well as advocating at the policy level on areas pertaining to resource rights.

Example Indicator	Example Baseline	Example Target 2018	Example Progress 2018
<p>Evidence of successes achieved by Trócaire, partner and programme participants' advocacy in the design and implementation of national land use laws, policies and practices, by state institutions (specifically:</p> <ul style="list-style-type: none"> - enactment of the National Land Use Policy into law - Reduction or elimination of negative impact to communities from planned or ongoing Mega projects) <p>(see Note below describing categories of success)¹</p>	<p>National Land Use Policy (NLUP): National land laws remain gender insensitive, and do not recognise customary tenure and communal ownership. The National Land Use Policy (NLUP) has not been enacted into law, but Trócaire and partners have actively been engaged in consultations on its drafting.</p> <p>Mega projects:</p> <ul style="list-style-type: none"> - The Dawei Special Economic Zone project resulted in the displacement of communities without adequate compensation or free, prior and informed consent. The project remains stalled after considerable community pressure, however the road link to Thailand is still being built. 	<p>National Land Use Policy (NLUP):</p> <p><i>Advocacy Target Stakeholders take action:</i> Supportive MPs propose the introduction of new land laws based on NLUP</p> <p>Mega projects:</p> <p><i>Shaping the debate:-</i></p> <p>there is increased public attention on the potential impact of the Dawei SEZ-Thailand road link</p>	<p>National Land Use Policy (NLUP):</p> <p><i>Advocacy Target Stakeholders take action:</i> Following 3 training and awareness raising events, 22 MPs released a joint press statement expressing support for the introduction of new land laws based on NLUP.</p> <p>No new land laws based on the NLUP have actually been submitted.</p> <p>Mega projects:</p> <p><i>Shaping the debate:</i> Public attention of the negative effects of the Dawei SEZ – Thailand road link has been increased due to the publication of 27 newspaper articles and other publicity materials by partners. As a result, local radio stations featured programmes on the issue and shared the programmes proposed policy solutions.</p>

* *Note:* This is a Trócaire global indicator. 'Evidence of success' refers to five levels of advocacy result:

1. *Shaping the debate*
2. *Decision-makers and Decision-influencers have increased knowledge*
3. *Decision-makers and Decision-influencers express support*
4. *Decision-makers and Decision-influencers have taken action to bring about the proposed changes*
5. *Change in/effective implementation of target policy, law or practice, by targeted stakeholders.*

¹ This note can be used for institutional donors to explain what Trócaire means by success

TOOL 15: ACTIVITY & SUCCESS TABLE

Aim:				
Objectives:				
Primary Decision-maker/Duty-bearer:				
Decision-influencers:				
Activities			Expected Result	Advocacy Activity Results
Activity Start Date	Activity Completion Date	Activity description	Expected result of Advocacy Activity	1: Shaping the Debate
Record the date the activity started on	Record the date the activity was completed (this might be the same as the date the activity was started on)	<p>Briefly note:</p> <ul style="list-style-type: none">the activitythe Decision-maker or influencer targeted by this activity <p>Example: Launch event for produced report</p>	<p>Write here the result that you expect.</p> <p>Example: Increase knowledge of 15 Decision-influencers</p>	<p>If the result of the activity helped to 'shape the debate' describe that success, including any evidence and other relevant details</p> <p>If there was no success under this category leave the box blank.</p>

TOOL 15: ACTIVITY & SUCCESS TABLE

2: Advocacy target stakeholder has increased knowledge of the problem and the proposed changes to policy, law or practice	3: Advocacy target stakeholder expresses their support for proposed changes to policy, law or practice	4: Advocacy target stakeholder has taken action to bring about change in policy, law or practice	5: Objective achieved (change in or effective implementation of policy, law or practice)
<p>If the activity led to 'Decision-makers or Decision-influencers having increased knowledge' describe the Decision-makers or Decision-influencers and what knowledge they are now in possession of. Include any available evidence or relevant details</p> <p>If there was no success under this category leave the box blank.</p>	<p>If the activity led to the 'Decision-makers or Decision-influencers expressing support for your proposal' describe that expression of support, including details of which Decision-makers or Decision-influencers, and any other evidence or relevant details</p> <p>If there was no success under this category leave the box blank.</p>	<p>If the activity led to 'Decision-makers or Decision-influencers taking action' describe the action/s, including details of which Decision-makers or Decision-influencers and any evidence available and other relevant details.</p> <p>If there was no success under this category leave the box blank.</p>	<p>If the activity led to a full or partial fulfilment of your monitoring and advocacy objective, describe that success here, including any details on the Decision-makers or Decision-influencers involved and any other relevant details.</p> <p>If there was no success under this category leave the box blank.</p>

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