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# **Advocacy and Policy Influencing for Social Change**





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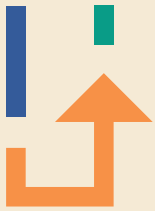
**Advocacy and Policy  
Influencing for Social Change**





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## Foreword

## FOREWORD

With activities in eight countries of the Western Balkans and Turkey *Technical Assistance for Civil Society Organisations* – TACSO – is providing support and opportunities for the development of a strong and influential Civil Society sector. This investment in Civil Society is based on our conviction that in the context of EU affiliation ongoing political, economic and social processes require an engaged and well-functioning Civil Society as an important precondition for democratic developments.

An important project component of TACSO is Capacity Development of CSOs with the main objective being to increase the capacity of CSO representatives in a number of key areas by offering them new knowledge on contemporary methodologies and techniques as well as the opportunity for exchange and practical knowledge.

During the spring of 2010 TACSO implemented five Regional Training Programs targeting experienced and well-established CSOs and their representatives. Following the successful completion of these Training Programs and in order to further strengthen the capacities of CSOs, TACSO has decided to develop five manuals as follows:

- Fundraising and Accessing EU Funds;
- Civil Society Organisation Management - Practical Tools for Organisational Development Analysis;
- Developing and Managing EU Funded Projects;
- *Advocacy and Policy Influencing for Social Change*;
- Citizens' Participation in the Decision-Making Processes.

The present Manual *Advocacy and Policy Influencing for Social Change* is aimed to increase the CSOs advocacy skills as well as the influence on public policies in order to contribute to social transformation.

We sincerely hope that you will find the Manual useful for your work.

*Palle Westergaard*

Team Leader

In contemporary society, the amount of subjects and issues open to change, as well as the different and diverse opinions of actors and stakeholders makes it increasingly complex to govern, to consolidate or to bring about change. Entrepreneurs cannot develop their products and services without looking at the wishes of their clients, regulations from the government and increasingly opinions of pressure groups or social movements. Similarly, governments cannot formulate laws, rules and regulations without a thorough knowledge of the issue and the respective needs of its citizens and the interest of different stakeholders in society – entrepreneurs and civil society organisations alike. Finally, civil society organisations cannot bring about change by just demanding or claiming their rights without the empowered voices of its constituencies, the in-depth knowledge of existing laws and regulations, the interests of contradicting stakeholders and the proof or evidence of negative or positive implications on their beneficiaries or constituencies.

In briefly, we have to become interdependent if we want to achieve sustainable change and to consolidate empowered change.

Therefore nowadays Advocacy and Policy Influencing is crucial to every entrepreneur, politician or civil society group. It is a challenge to bring together different stakeholders to discuss, to inform and to influence decision makers as broadly as possible on different backgrounds and interests, in order to take an informed decision. Without advocacy and policy influencing, the quality of decision-making will suffer.

This Manual will help you to improve the quality and the effectiveness of your advocacy and policy influencing in a credible, legitimate and accountable way.

## APPROACH TO THE MANUAL

In order to make this Manual as practical as possible the theoretical part has been supplemented with case studies and practical tools. The case studies are mostly from the work of Civil Society Organisations (CSO) from the Western Balkans and Turkey. This approach is chosen in order to complement the knowledge of CSOs about the field of advocacy and policy influencing and to make it directly applicable in their everyday work.

The core of the Manual is the Advocacy and Policy Influencing Cycle, which reflects steps of the Project Management Cycle. Our experience with this cycle is that the most common error made in projects is that organisations tend to identify a problem and head directly to implementing possible solutions. Many essential planning steps are thus omitted. Such an observation can also be made for policy influencing; a problem is identified and actions are directly undertaken.

Developing a *Theory of Change* for your organisation clarifies how the *vision and mission* of your organisation is achieved, and how your programmes and projects contribute to that mission and vision. Policy Influencing can be part of that. When your organisation uses

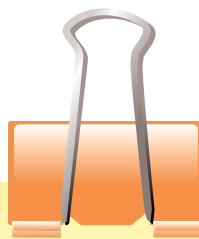
policy influencing as an important intervention, it should make clear *how policy influencing is embedded* in your organisation's *theory of change*. Thus policy influencing is not something you do at the margins as a side-activity, or ad-hoc when you meet a politician – no – it is a clearly defined strategy linked to your other interventions, in which it is clear to everyone as *one of the ways* to contribute to the mission and vision of the organisation.

Undertaking a *Theory of Change* exercise – with stakeholders you want to cooperate with in your policy influencing – strongly increases your legitimacy, credibility and effectiveness. It means that you identify *together with them* the ultimate goal (vision), the concrete changes you will focus on in order to contribute to the vision (outcomes or mission) and how you think you will get there. Doing it with other stakeholders assures a common understanding of the wished-for change you seek to achieve with policy influencing. It also clarifies how specific changes you work on affect the changes other stakeholders work on. Without success in one area you may not reach change at all. In sum, it clarifies why you are undertaking a joint effort and what the responsibilities of each of the stakeholders are.

Many CSOs undertake policy influencing activities, either as part of projects or as core business. This Manual will focus on the various phases before actually undertaking policy influencing activities. Therefore, much of the focus will be on planning for those actions in such a way that activities are relevant and achieve the highest possible impact.

The knowledge and skills in this Manual represent years of experience by MDF and the authors, combining their knowledge on advocacy and policy influencing, theoretical as well as practical, and knowledge on Planning, Monitoring and Evaluation.

## STRUCTURE OF THE MANUAL



The Manual is build up in five major parts as follows:

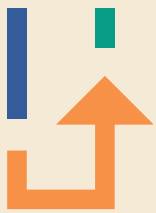
- Part 1** Introduction to Advocacy and Policy Influencing
- Part 2** Birth of the Early Message
- Part 3** Alliance Building and Action Plan
- Part 4** Implementation and Learning: Delivering the Final Message
- Part 5** Toolbox







**Part I**  
**Introduction to Advocacy and**  
**Policy Influencing**



# **Politics and Policy Influencing – Key Concepts**

## INTRODUCTION

What do we actually talk about when we talk about policy influencing, lobbying or advocacy? These terms are used by different people to refer to different kinds of activities. For the sake of better understanding it is important to differentiate between these terms and we present below a short overview of the differences and overlaps of some of these terms.

## WHAT DO WE MEAN BY POLICY INFLUENCING?

When people talk about politics and policies they use the words in mixed meanings, sometimes confusing ways. Politics is mostly defined as the actions and interactions taking place in discussing and negotiating amongst stakeholders in which power, status and influence of the people involved play the most important role.

Politics (from Greek *πολιτικός*, “of, for, or relating to citizens”), is a process by which (groups of) stakeholders try to make collective decisions. The term is generally applied to the art or science of running governmental or state affairs. It also refers to behaviour within civil governments. However, politics can be observed in other group interactions, including corporate, academic, and religious institutions. It consists of “social relations involving authority or power” and refers to the regulation of public affairs within a political unit, and to the methods and tactics used to formulate and apply policy.

A *policy* is typically described as a principle or (set of) rules to guide decisions and achieve rational and predictable outcome(s). Policies are generally adopted by government bodies and parliaments, or the board of or governance body within an organization or companies.

Throughout this Manual we use the general term policy influencing when talking about all possible actions designed to influence policies, as it can be easily translated into most languages, is accepted in most political cultures in many countries, and can address all kinds of actors ranging from civil society organisations, government or to the business sector.

Every respected entity has a vision, a mission and defined policies, and influencing these policies is day-to-day work.

For the purpose of this Manual we use a working definition of policy influencing as follows:

### **Working definition of Policy Influencing**

Policy Influencing is the deliberate and systematic process of influencing the policies, practices and behaviour of different targeted stakeholders who have most influence on the issue in question, involving beneficiaries and increasing their ownership and capacity of the issue. Activities can be singled out, or a mixed strategy can be applied, in which joint forces and concerted action increase the effectiveness of any policy influencing interventions.

The above definition contains two elements that may need additional emphasises, namely, behaviour and stakeholders:

Policy influencing is about changing the behaviour of certain stakeholders. Changing behaviour is a prerequisite to changing policies. Just changing policies should not be the intended result of policy influencing, as you also want something to change in practice. To achieve this it is important to change behaviour. In the Manual different tools and approaches will be described that focus on changing the behaviour of different actors in the policy influencing process.

The definition above refers also to “different targeted stakeholders that are most influential”, instead of the more common term “decision makers”. The main reason is that not all people referred to commonly as decision-makers are the most influential stakeholders on a particular issue. Much will depend on the outcomes of different analyses presented in this Manual.

## So WHAT IS ADVOCACY, LOBBYING AND ACTIVISM?

Common terms used when referring to policy influencing are lobbying, advocacy, and activism. Definitions of these terms are not clear-cut and agreed upon and it might seem that the meaning of these terms and the activities they entail overlap. It is possible to have an inherent sense of what activism is about, or what advocacy and lobbying entail without being able to clearly define these terms.

What further adds to the confusion about these terms is that often they are defined through particular activities. Thus a meeting with politicians is considered by some to be an activity that may fall under lobbying. Getting a press release published may be considered more like advocacy. Demonstrating or organising a sit-in would fall more under activism. Distinctions based purely on the type of the activities they do or do not entail are not very useful as one activity may be considered lobbying, advocacy or activism depending on the context, the intent of the organiser and the way it is perceived by the other party.

To use this Manual it is important to be able to differentiate between these terms, but we will not be offering clear-cut definitions, rather allowing the reader to be able to tell the difference between them through the given explanations.

### Lobbying

Lobbying has a negative connotations for some people. It conjures up images of men in suits making obscure deals with politicians in back offices. The connotation is so strong that the European Commission prefers to use the term “interest representation”. There are obviously cases in which lobbying is done by professionals hired by clients who need to be represented in some way. It is often those cases that come to mind when the term lobbying

#### Lobbying elements:

- Consensus-driven
- Negotiation
- Dialogue
- Different parties

is used. Whatever you feel about the term, it does cover a number of activities most CSOs sometimes undertake consciously or sub-consciously. Since lobbying is the term most people have heard of, it is the term we will use.

The fact is that lobbying often entails some work that is not directly transparent. This means that it is a challenge to make lobbying accountable. Lobbying entails, at the very least, some form of dialogue between parties. Also, the different parties will be more or less consensus-driven. This means there is some room for negotiation. If this is not the case, you may want to lobby and have an ongoing dialogue at the same time, but this is unlikely to be successful and the dialogue will be very one-sided.

### Examples of different definitions

“Interest representation” activities (...) are defined as activities carried out with the objective of influencing the policy formulation and decision-making processes of the European institutions”

(Source: European Commission Code of Conduct for Interest Representatives)

“An organization is attempting to “influence legislation” when the communication:

- is directed towards a legislator or employee of a legislative body;
- refers to specific legislation;
- reflects a view on that legislation”.

(Source: IRS Definition of direct lobbying)

Grassroots lobbying occurs when the communication:

- is directed towards the general public
- refers to specific legislation
- reflects a view on the legislation AND
- “encourages the recipient ...to take action with respect to the legislation.”

(Source: IRS Definition of grassroots lobbying)

### **MOST, Former Yugoslav Republic of Macedonia**

The MOST citizen’s organisation, as an electoral monitoring organisation, has successfully lobbied for reform of the electoral code in Macedonia by, among other things, lobbying key representatives in ministries and parliamentarians at various stages of the elaboration process of a new electoral code. Their work is highlighted in more detail in the chapter on scanning the policy process.

## Advocacy

Advocacy is often used in the same sentence as policy influencing. That is because they overlap a lot. As is the case for lobbying there really is not one uniform definition of advocacy. Many definitions are almost alike to the working definition of policy influencing. However, there is one important distinction between policy influencing and advocacy, namely the possible character of the activities. Advocacy refers to non-violent activities designed to influence policies, practices and behaviour. It includes lobbying (non-violent by nature) and other activities that are not lobbying, but are non-violent and considered legal.

### Examples of different definitions:

- Advocacy is changing practices and policies of people in power, affecting disadvantaged people (CAFOD).
- Citizen-centered advocacy is an organised political process that involves the coordinated efforts of people to change policies, practices, ideas, and values that perpetuate inequality, intolerance and exclusion

*(Action Guide for Advocacy and Citizen Participation).*

### Foundation Combating Soil Erosion, Turkey

A good example of an advocacy activity that is not also lobbying is the activity of the Turkish Foundation Combating Soil Erosion (TEMA). In their lobby for approval of “The Law on Soil” Protection and Land Improvement”, they also applied pressure by launching a petition campaign and getting over 1 million signatures.



Advocacy is best described, in the context of this Manual, as all non-violent and legal activities designed to influence policies, practices and behaviour.

## Activism

When we think of activism it is often linked to demonstrations, standing on the barricades, as well as funny and creative activities designed to draw attention to an issue. Mostly such activities are not designed to create or propose consensus. They are set up to convince or inform others, for example to get popular support for an issue or place an issue on the agenda. By undertaking such activities pressure can be put on particular stakeholders to change, using third parties such as the public. Activism in that way is often seen as opposite to lobby and/or dialogue which are more seen as passive, non-visual and consensus driven activities. It is important to understand that activism can be something positive, legal and non-violent, but also something illegal and violent. Violence is always a possibility within activism since activities are designed to be confrontational.



*"The way Greenpeace takes action makes a lot of people uncomfortable - and it should, as the things we bring attention to don't feel good."*

(Greenpeace)

### Example of Definition

Activism consists of intentional action to bring about social, political, economic, or environmental change. Activism can take a wide range of forms from writing letters to newspapers or politicians, political campaigning, economic activism such as boycotts or preferentially patronizing businesses, rallies, street marches and strikes, both sit-ins and hunger strikes (Wikipedia).

### Youth Educational Forum, Former Yugoslav Republic of Macedonia

Activism increasingly works through the use of social networks, such as Facebook and Twitter, as well as the use of new media, such as YouTube. Among CSOs several members use such means to raise awareness of the public and put pressure on decision-makers. An example of a CSO using social media in their activism is the Youth Educational Forum in the



Former Yugoslav Republic of Macedonia. They work on issues regarding social inclusion of young people and anti-corruption in higher education. They upload short videos (amateur clips, podcasts and graphics) on YouTube and/or Vimeo which provide them with free space. They already have a large online community on Facebook and Twitter. This community then votes and comments on the materials, either directly or through the social networks. These platforms then offer plenty of opportunities to share.

These activities are used to mobilise people for events, attract politicians and or authorities who are present on the social networks and provide more signatures for online petitions when these are done. This provides input for other activities to influence decision-makers, such as lobbying activities.

A specific success in the use of social media is in the use of Flash Mobs to share the message: “Include Young People in the Decision Making Processes”. The first public Flash Mob attracted more than 100 people and was filmed, posted on Youtube and shared across social networks. It reached enormous popularity with young people in schools in Macedonia. This resulted in a second Flash Mob being organised. This attracted more than 200 young people in more cities in Macedonia. It increased sharing across internet communities, and is a good example of mobilisation via the internet.

When we talk about illegal activities we bear in mind that illegality of activities is subjective and differs from country to country. In some countries it is illegal to protest for example. In the context of the Manual ‘illegal’ refers to activities that intentionally harm others, such as violence and bribes.

In the context of this Manual a distinctive feature of activism is that activism entails activities directed towards third parties (e.g. the public) and may be non-violent or violent and illegal.



## AWARENESS-RAISING AND POLICY INFLUENCING

The term awareness-raising is very often mentioned in combination with policy influencing, advocacy, lobbying and activism, as well as on its own. For many it describes a set of activities or a strategy. In some cases awareness-raising is an end in itself.

Awareness-raising is a pre-condition of all policy influencing activities. It is a mutual exchange of information between different stakeholders involved, either beneficiaries or decision makers. You could say that awareness-raising, and keeping awareness raised, is a continuous process throughout the intervention.

Many projects, such as policy influencing projects, contain an element of awareness-raising. In lobbying for example, organisations provide information to decision-makers, thereby raising their awareness about a certain issue. In many advocacy and activism-related activities the awareness of the general public, or specific groups, is raised with a view to mobilising them to put pressure on decision-makers. You can also raise the awareness of beneficiaries of your intervention. This is often the first step towards making them more powerful and making their participation in your intervention possible.

As such awareness-raising is often part of your intervention. However, awareness-raising should only be a means to a more specific objective. You always must be conscious of the reasons for awareness-raising. In our experience many organisations indicate that one of their objectives is to raise the awareness of others in their policy influencing interventions.

We believe that awareness-raising is part of policy influencing, but we also believe that awareness-raising alone cannot achieve policy and behavioural change. Thus awareness-raising cannot be an objective of your policy influencing intervention. Awareness-raising is a series of activities such as distributing brochures, providing background materials to decision-makers, or having certain informative speeches at a conference. The outcome of that being that certain people have increased awareness of a certain topic. This then should contribute to the higher objective, outcome or result, which is behavioural change regarding the specific topic. You must focus on what the new awareness leads to, namely what is the change you want to see once people's awareness is raised.

Raising awareness through certain activities is done to:

- provide information in order to put something on the agenda;
- mobilise groups or the general public in order to put pressure on others to change;
- undertake a first step towards empowerment of beneficiaries.

### Centre for Development of Non-Governmental Organisations (CRNVO), Montenegro

CRNVO works on the issue of Corporate Social Responsibility (CSR) and changing the behaviour of business, NGOs and Government.

They want these actors to work together on CSR and ultimately also the Government to take responsibility in making the environment conducive for CSR.

A first step is to raise awareness among all actors about the

importance of CSR and the fact it can work, as well as raising awareness about the possibilities of cooperation and mutual benefits from that. A major step in this was the organisation of a conference on CSR best practices and the publication of a book of best practice. All of these events were also mediated in order to sensitise the population to CSR. CRNVO continues providing trainings to various actors on CSR and, most notably, partnerships. They are also using the raised awareness to start lobbying for a more conducive environment for CSR.



### Albanian Helsinki Committee, Albania

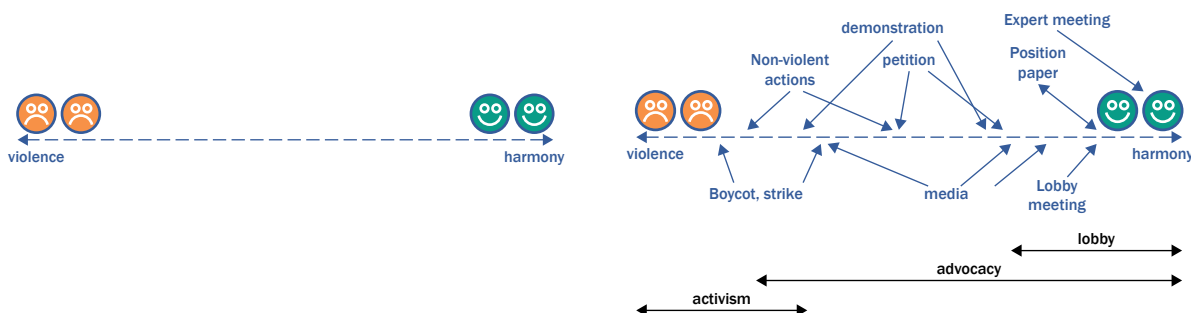
The Albanian Helsinki Committee uses awareness-raising of different actors so that these actors can play a role in successfully implementing the new anti-discrimination law in Albania. Thus legal aid providers, local human rights organisations, barristers, young human rights activists, representatives of trade unions and scholars were trained on the new law in order for those actors to use it in their work. Through this work it is anticipated that the implementation of the anti-discrimination law is more successful. A follow-up of this awareness-raising project focuses on getting specific jurisprudence by making use of the law.



## POLICY INFLUENCING CONTINUUM

As noted above, it is not the intention of this Manual to distinguish the different terms through definition. The reasons for this are that there are no common definitions and many definitions merely show the overlap between the terms. Another important reason is that an activity can fall into each of the categories depending on the context and its timing. In order to differentiate and understand the terms we have created a *Policy Influencing Continuum* in which the terms are presented as forming parts of a continuum under the generic term: policy influencing. Filling in the Policy Influencing Continuum helps you think about the different activities you undertake and whether they would fall more under the description of activism or lobbying and whether they can be considered advocacy. It is probable that most activities will be advocacy activities at the very least and many will fall under lobbying.

The continuum presented below presents a line with two extremities. You can place policy influencing activities on the continuum depending on whether the activity is more or less harmonious. The term 'violence' indicates the level of physical and psychological violence. Another term you could use is illegal or confrontational.



### Policy Influencing Continuum

You can fill in the continuum with various types of activities you undertake such as meetings with politicians, expert meetings, writing press releases, demonstrations, bribery, strikes, boycotts, petitions, reporting etc. These activities are either more or less harmonious or violent. You may well find that one type of activity could fit on the continuum on different places depending on what your intention was and how it worked out. Apart from allowing you to work out what your intention is in regard to a certain activity, the continuum can also help you think about how the activity is likely to be perceived by your counterpart(s).

As activities have been placed on the continuum some distinction can now be made between activities that would fall under activism, advocacy and lobbying. In the Toolbox of this Manual an exercise with the Policy Influencing Continuum is proposed (Tool 1).

## TIPS for practical application and facilitation

The terms introduced in this chapter are not set in stone. There is no a single definition provided. It is also not very important to know exactly what lobbying, advocacy or activism is. It is much more crucial to understand that there are differences between terms that are used by many people in different ways. When you facilitate discussions about terminology be sure to get distinguishing factors out in the open in order to make people understand that there are differences between types of activities. In the end, once there is consensus on those differences, it makes it easier to think of types of activities you can undertake at various stages of policy influencing intervention. Some will realise that it is not just about lobbying or about campaigning. In fact it is often a combination of those activities whereby you engage on different levels with different people.

We have also found discussions on terminology helpful to make a distinction between how you perceive a certain activity and how it is perceived by the recipient. On starting any form of activity it helps if it is made clear what kind of reaction you anticipate.

## QUESTIONS for further reflection

- Is policy influencing a democratic instrument for developing policies, laws and regulations? Is it accepted or tolerated as such, or is it an official democratic instrument?
- Can policy influencing be democratically controlled so that transparency is guaranteed? If so, how would you like to see it controlled? Is regulation in place in your country or elsewhere that you know of?
- Does policy influencing in different political and cultural contexts, or other kinds of democracies, take place in the same way, or would you have to use different tactics or strategies?





## **CLASP Principles**

## THEORETICAL BACKGROUND

*“Who do you represent, how many are you, and how do I know that you tell the truth – or are you just voicing your own personal ideas?”*

Mr Pascal Lamy, WTO

Policy Influencing is about influencing the behaviour of representatives in government, business or CSSs, namely, those with decision-making power. If they take decisions, these decisions have an impact on larger groups or society as a whole. If you influence these decisions, you become co-responsible to a certain extent. Decision-makers, on the other hand, require reliable information. Most decision-makers apply a set of principles, consciously or unconsciously, in order to define if they have to take the person or organisation seriously.

The questions that have to be answered for both you as policy influencers, and your political targets, the decision-makers from government, private sector or CSOs and beneficiaries, are:

- why would people trust you?
- who or what gives you the right to interfere?
- how can you be transparent towards decision-makers, donors, constituency, and beneficiaries alike?
- how are you being helpful, and do you focus on win-win solutions?
- what is your power base and how do you use it?

The answers to these questions are translated into five so called PI-principles, abbreviated in the acronym CLASP, that stands for:

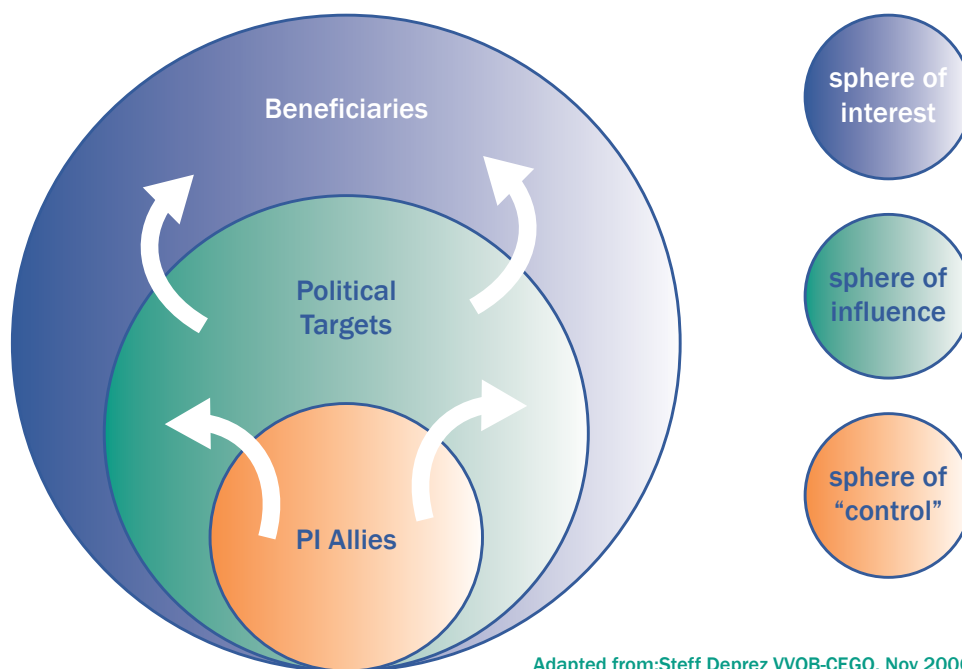
- C** ⇒ Credibility
- L** ⇒ Legitimacy
- A** ⇒ Accountability
- S** ⇒ Service - orientedness
- P** ⇒ Power based

In this chapter we will look at what PI-principles refer to and how we can prove to be CLASP-proof in policy influencing.

Influencing is obviously the key to policy influencing. It is mostly directed towards those actors you believe can change the lives of beneficiaries. One way of thinking of what and why you are influencing is by distinguishing different spheres of policy influencing. We will refer back to these spheres at times in the Manual.

- **Sphere of control** is the sphere where you will find your own organisation and your allies. You can, more or less, control their behaviour even though you may need to undertake special interventions for this such as influencing within your organisation or through alliance building, as presented in the Manual;
- **Sphere of influence** refers to the sphere in which you try to influence the behaviour of the political targets with the actors in the sphere of control. You cannot control their behaviour, or their reaction to your influencing. However, you can try to do this, as this is the result you want to achieve with your policy influencing intervention;
- **Sphere of interest** is relevant for CSOs as you believe that influencing the actors in this sphere will bring desired changes in the lives of your beneficiaries. Their change represents your interest. Your intervention is unlikely to bring about the desired change but it will contribute to it.

You must be aware, coming back to CLASP, that any change you effectuate, especially in your spheres of influence and interest, may also have an impact on others.



Adapted from:Steff Deprez WVOB-CEGO, Nov 2006

### Influencing in Policies



## CREDIBILITY: WHY WOULD PEOPLE TRUST YOU?

Credibility refers to the objective and subjective components of the believability of a source or message, also referred to as evidence-based advocacy. It has become an important topic since the mid 1990s, as the internet has increasingly become an information resource although obviously not all information is reliable. You can distinguish two key components:

1. trustworthiness is based more on subjective factors, but can include objective measurements such as established reliability;
2. expertise can be similarly subjectively perceived, but also includes relatively objective characteristics of the source or message (e.g. credentials, certification or information quality).

Secondary components of credibility include source dynamism (charisma) and physical attractiveness (see also Power in CLASP).

Credibility is about the trustworthiness of your organisation in other people's eyes and may relate to the information and data you use. You can increase your credibility by doing proper fact finding and research on the issue. In addition, you as a person believing in your message (based on facts and conviction) while bringing the message across is an important component.

### Indicators of Credibility

- constituency participation in fact finding and research;
- creating availability of data on your constituency;
- providing evidence and fact finding in a scientific way;
- doing research on policy and effects on your constituency;
- budgeting for credibility.

### Kosova Rehabilitation Center for Torture Victims, Kosovo under UNSCR 1244/99

A baseline study on torture and other human rights violations in places of detention is conducted by Kosova Rehabilitation Centre for Torture Victims (KRCT) – self-made checklists, experts, methodology used, indicators, scientific and evidence based data are used. Credibility is based on facts encountered in an established reality (trustworthiness) and data gathering was scientific and of high quality (expertise). This case presents a good example of credibility.

## LEGITIMACY: WHO OR WHAT GIVES YOU THE RIGHT TO INTERFERE?

The general definition of legitimacy as used in political science is the popular acceptance of a governing regime or law as an authority. Legitimacy is used:

- when describing a system of government, private sector and society itself – where government may be generalized to mean its wider “sphere of influence”;
- something becomes legitimate when one approves of it. Issues of legitimacy are linked to those of consent (the provision of approval or assent, particularly and especially after thoughtful consideration). For example, an institution is perceived as legitimate if approval for that institution is general among those people subject to its authority.

Legitimacy is considered a basic condition for rule, the argument being that without at least a minimal amount of legitimacy, a government will encounter frequent deadlocks or collapse in the long run. On the other hand, the government is not legitimate unless it is run with the consent of the governed.



Legitimate policy influencing therefore is based on *changing the behaviour* in the sphere of influence of the system based on the change of consensus of its citizens.

In policy influencing legitimacy looks at how legitimate or representative you are or your organisation is in taking a certain position. It also looks at if and how you have involved the people on behalf of whom you are allowed to speak. Governments and the commercial sector increasingly pay more attention to the legitimacy of lobbyists and campaigners.

In order for your organisation to be legitimate, you should set up the policy influencing process in such a way that it is done:

- by the beneficiaries and marginalized;
- with the beneficiaries and marginalized;
- for the beneficiaries and marginalized, guaranteeing previous involvement in defining the policy position, and given feed-back on the achieved results.

This means involving beneficiaries from the start of the process (planning). In chapter 7 (Beneficiary Participation), and 8 (Strategising With the Early Message) there is more information about how to include beneficiaries. However, at this point we would recommend that beneficiaries are increasingly made responsible for parts of the policy influencing process throughout your intervention.

### Indicators of Legitimacy

- involvement of your constituency in planning and implementation, but also in monitoring and evaluation;
- involvement of beneficiaries in planning and implementation, but also in monitoring and evaluation;
- joint positioning;
- meetings for preparation and feedback which could be referred to as awareness-raising;
- budgeting for legitimacy.

#### Turkish Foundation for Combating Soil Erosion, Turkey and Avalon, Serbia<sup>1</sup>

Legitimacy is based on the involvement of volunteers and beneficiaries in petitions or research, and the presentation of the report by one of them. The registration of the NGO's guarantees the presence of a board and members involved as the constituency.

Turkish Foundation for Combating Soil Erosion (TEMA Foundation) worked with volunteers to collect one million signatures.

The environmental association "Avalon Serbia" and United Women of Banja Luka conducted a research in 13 municipalities of northeast BiH centred around 20 women per municipality in the surveys. The main goal of the project was to inform women from urban and rural areas about their social rights and empower them to use these rights. The report was presented in a public meeting by women's representatives of the research.

*(Example on Legitimacy)*

<sup>1</sup>See also *beneficiary consultation*

## ACCOUNTABILITY: HOW CAN YOU BE TRANSPARENT TOWARDS STAKEHOLDERS?

Accountability is a concept in ethics and governance with several meanings. It is often used synonymously with such concepts as responsibility, transparency, answerability, blameworthiness, liability, and other terms associated with the expectation of account-giving. As an aspect of governance, it has been central to discussions related to problems in the public sector, non-profit and private and corporate worlds.

In *leadership* roles, accountability is the personal acknowledgment and assumption of responsibility for actions, to explain and be answerable for resulting consequences. This covers products, decisions, and policies including the administration, governance, and implementation within the scope of the role encompassing the obligation to report.

Accountability is the way you prove to all stakeholders that you are reliable as an organization or a person. This proof must be made accessible to your stakeholders.

In general people distinguish between backward and forward accountability.

- **Backward accountability** takes into account the consultation and involvement of your constituency, beneficiaries, members and board or alliance. In order to realize that you will have to organize meetings at different levels, in order to get a mandate, prepare policy influencing positions and feedback on results of interventions;
- **Forward accountability** is about being transparent about your constituency, board, relations with other stakeholders outside your direct sphere of control, organisation, network or alliance. It takes place in the sphere of influence in which you want to bring about behavioural change. It has to be supported by publishing of verifiable data, objective certification, transparency on membership and budgets and spending, and be accessible for the world outside your organisation or network. The following information should be provided in the public domain in an easily accessible forum such as a website:
  - facts and figures;
  - reports and research;
  - financial data and audits reports.

### Lara, Bosnia and Herzegovina

Lara, an organization of women, organizes 'Women on Wednesday' meetings with women and local officials, an example of downward accountability, and thus proof of legitimacy, where they present reports and facts, providing proof of credibility on the issues debated on to officials. This represents upward accountability. The donors and board of Lara receive half-yearly reports on all progress and finances - upward accountability - which are also published on the website for the broader public, members and beneficiaries, which constitutes downward accountability.

*(Example on Accountability)*



### Indicators of Accountability

- your credibility can be proven by public statements that can be supported by verifiable data, fact sheets and research reports;
- your legitimacy can be proven by information on beneficiaries, constituencies and boards;
- involvement of beneficiaries can be proven by related activities which are public;
- your financial data are public, sound and transparent;
- you are budgeting for accountability.

## SERVICE ORIENTEDNESS

Service orientedness is more than just delivering a service, it is also your attitude when influencing policies and, thus, representing your beneficiaries. It is about you taking up the role of a leader. It also has to do with your attitude towards your political targets by respecting their personal integrity and fulfilling part of their needs.

Service orientedness therefore finds its origin in theories on servant leadership in which the leader has a serving attitude in serving its followers for the sake of a 'greater good'.

*"The servant leader is servant first. It begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings one to aspire to lead. He or she is sharply different from the person who is leader first. The difference manifests itself in the care taken by the servant-first to make sure that other people's highest priority needs are being served." (Greenleaf, 1970)*

Nevertheless, in service delivery towards all stakeholders involved, such as beneficiaries, volunteers, constituencies, political targets, companies and the donor community, it is crucial that you do not disappoint them, simply by following some rules of politeness. These are areas of cultural sensitivity and can, of course, vary dramatically between countries, regions and social classes.

This means that you stick to your word.

### Indicators of Service Orientedness

#### *Attitude indicators:*

- serve your constituency, beneficiaries or citizens you represent;
- do not treat your targets as your enemies;
- leave your pride at home - be a servant leader;

#### *Performance indicators:*

- do as you promise, i.e. deliver promised facts, details, information, reports, and answers to questions that are relevant to your constituency and political targets;
- make your deliverables of high quality;
- deliver the information in time, so that your beneficiaries can still respond, and your political targets are able to reflect and use the information.

### Women Action, Montenegro

Women Action contributed to the MDG 3 report from Montenegro by participating in and designing a report about women's positions, challenges and plans. It was a detailed, official and concrete report delivered in a timely manner.

Service-orientedness is shown in the exact description of the role of Women's Action: not more, not less. The report added value to an official UN report and was delivered on time.

(Example on Service Orientedness)



## POWER BASED

*“Power can be defined as the ability to achieve a purpose: whether it is good or bad depends on how you deal with the powers you have.”*

Martin Luther King

*Power* is an integral part of life, yet power turns out to be a difficult topic to address and work with. Power exists in relations between people, between organisations, in friendships and relations, in marriage, in networks and alliances, in political parties – and most certainly in the dynamics of politics.

Power can seem especially monolithic and impenetrable for people who have lived under regimes that deny or repress citizen participation. Our experience has shown that people engaging in politics for the first time, and even more seasoned activists, often see power as sinister and unchanging. Such a one dimensional perspective can paralyse effective analysis and action.

In reality, power is both dynamic and multidimensional, changing according to context, circumstance and interest. Its expressions and forms can range from domination and resistance to collaboration and transformation. This is good news.

However, programmes promoting policy influencing rarely incorporate an understanding of underlying power relationships and interests despite the importance that analysts place on these dynamics. The failure to deal with the complexities of power can lead to missed opportunities and poor strategic choices. Worse, it can be risky and counterproductive not only for advocates, but also for donors and others promoting development and democracy. Experts and practitioners in the fields of conflict resolution and democracy-building increasingly stress the importance of incorporating power into their analysis and actions.

Demystifying and revealing the many faces of power will give you the chance to deal with power in a conscious and responsible way. We look at power as an individual, collective, and political force that can either undermine or empower citizens and their organisations. It is a force that alternatively can facilitate, hasten, or halt the process of change promoted through policy influencing.

### Four Levels of Power

*Power based* means that you have to prove how strong you are in terms of how many people do you represent and how confident you are with regard to your policy influencing issue.

It is helpful to analyse power by looking at four levels of power, based on Ghandi’s teachings:

*Power Over* is the most commonly recognized form of power. It has many negative associations for people, such as repression, force, coercion, discrimination, corruption, and abuse. Power



in this sense is seen as a win-lose kind of relationship. Having power involves taking it from someone else, and then using it to dominate and prevent others from gaining it. In politics, those who control resources and decision-making have power over those without it, the powerless.

When people are denied access to important resources like land, healthcare, and jobs *power over* perpetuates inequality, injustice, and poverty. In the absence of alternative models and relationships, people repeat the *power over* pattern in their personal relationships, communities, and institutions. This is also true of people who come from a marginalized or “powerless” group.

When they gain power in leadership positions, they sometimes imitate the oppressor. For this reason, advocates cannot expect that the experience of being excluded prepares people to become democratic leaders. New forms of leadership and decision-making must be explicitly defined, taught, and rewarded in order to promote more democratic forms of power. Practitioners



and academics have searched for more collaborative ways of exercising and using power.

Three alternatives, namely, *power with*, *power to*, and *power within*, offer positive ways of expressing power that create the possibility of forming more equitable relationships. By affirming people’s capacity to act creatively, they provide some basic principles for developing empowering strategies in your policy influencing intervention.

*Power with* refers to finding common ground among different interests and building collective strength. Based on mutual support, solidarity, and collaboration, power with multiplies individual talents and knowledge. Power with can help build bridges across different interests to transform or reduce social conflict and promote equitable relations. Advocacy groups seek allies and build coalitions drawing on the notion of power with.

*Power to* refers to the unique potential of every person to shape his or her life and world. When based on mutual support, it opens up the possibilities of joint action, or power with. Citizen education and leadership development for policy influencing are based on the belief that each individual has the power to make a difference.

*Power within* refers to a person’s sense of self-awareness and self-knowledge. It includes an ability to recognize individual differences while respecting others. Power within is the capacity to imagine and have hope. It affirms the common human search for dignity and fulfillment.

### Examples of Four Levels of Power

**Power over:** anybody in a formal hierarchical position in society, like the president, the political leader or the head of an organisation.

**Power to:** all the research and reports mentioned are examples of this.

**Power with:** all the beneficiary consultation, the collaboration with volunteers, the alliance building and networking, the involvement of boards and constituencies are all examples of this.

**Power within:** the power of believing in your own message, and to convince others.

### Indicators for Power Based PI

- Power over: the position you have in society, an organisation or in politics, which is most commonly referred to as the only power base, increases and maintains the image of your organisation and its relation with its constituency and beneficiaries;
- Power with: your beneficiaries and allies, working together in joined and concerted action, a stronger way of working than doing it all by yourself, and participating in or collaborating with networks and alliances on your PI issues;
- Power to: your knowledge on the policy topic, and development of evidence-based research with beneficiary involvement;
- Power within: your attitude, reliability and self-confidence, and having a servant leadership style of working as a networker and as a policy influencer;
- Budgeting for preparing and strengthening your power base, through networking and alliance building, communication and transparency on websites, research etc.

In the final part of the Manual there are a variety of tools and frameworks for mapping and analysing power and interests.

## TIPS for practical application and facilitation

Looking at the different cases presented by TACSO members, it becomes clear that most organisations use some CLASP principles as a matter of course. This chapter helps you to become aware which principles you use, so that you can use them deliberately, and which ones you still have to work on. By analysing your ways of working based on CLASP you will make your policy influencing more effective immediately.

Using the principles of CLASP in all PI preparations and deliverables will make you well prepared in most situations. It is at the heart of the PI Cycle and must be applied in every step of the PI Cycle. CLASP must be part of your preparation or when you prepare yourself for a lobby conversation, media exposure or expert meeting. Opponents always try to tackle you on a weak point, so be prepared.

Budgeting for CLASP principles is crucial to any effective and CLASP-based policy influencing. Organisations frequently simply forget to budget for things that support CLASP-based policy influencing. If you do not create the means and prove that you need the means to support your policy influencing, the lack of budgeting is proof that you do not take CLASP seriously yourself and this then undermines your credibility, legitimacy, accountability, service and power base. CLASP-based budgeting, to the contrary, supports your policy influencing.

## QUESTIONS for further reflection

- When you think of your opponents or political targets – the people you want to influence – what would be the difference if you do use CLASP principles, in comparison to interventions of other organisations that do NOT use CLASP? And why?
- How can you convince your managers and donor organisations to create a budget for CLASP-based policy influencing?
- How can you show to the outside world - your audiences – that your work is CLASP-based? What would you use and when?



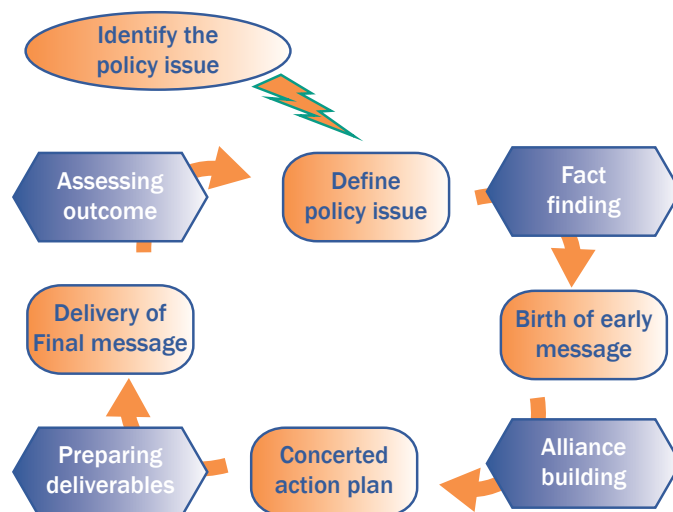
## **Introducing the Policy Influencing Cycle**

## INTRODUCTION OF THE POLICY INFLUENCING CYCLE

*“A cycle is a road map that you can and have to walk time and time again; then you will enjoy the landscape fully.”*

Ger Roebeling, MDF Training & Consultancy

This Manual is constructed along the lines of the Policy Influencing Cycle (PIC). The Policy Influencing Cycle has a number of interlinked steps and deliverables to be achieved after each step. It is complemented by tools in order to achieve these deliverables. The PIC is presented below:



In the orange boxes you will find the products or deliverables, while in the blue boxes you will find what you need to do in order to get to the product or deliverable. The products are the bricks on which you build your policy influencing intervention, while the things you have to do is the mortar keeping it all together.

In this Manual we will present the products, as well as what you have to do to get there. Obviously, this is complemented by how you get to the products by introducing a number of tools and approaches. Ways of using these tools and approaches in trainings or planning workshops are introduced in the Toolbox to this Manual.

In Part 2 of this Manual we will focus primarily on preparation and planning for policy influencing, which is the first quadrant of the cycle. In part 3 we will look at the second quadrant and in part 4 quadrants 3 and 4 will be discussed.

## USING THE POLICY INFLUENCING CYCLE

A cycle like the PIC gives the reader structure and provides a useful road-map. At each stage you know what to do and what sequence to do it in. However, as with each cycle, the Policy Influencing Cycle is a graphic representation of a complex and often irrational process. Within each step the process is non-linear. This means that you will be presented a number of tools in a particular sequence. For example, in step one you will end with an early message and we will present ways of getting there, presenting elements of beneficiary consultation, stakeholder analysis and policy process mapping. These are presented in a linear way, but as you go from one tool to another you will have to re-visit previous tools and the results stemming from their use. Thus you may have identified a policy issue very early on, but with the additional information you have from the beneficiaries and stakeholder analysis you may have to redefine the policy issue.

Where possible we will note this process of going back and forth throughout the cycle. However, at this point it is important to note that a cycle is handy way of grasping processes, but it is by no means an exact blueprint of the planning, monitoring and evaluation process of each policy influencing intervention.

At the centre of the PIC is CLASP. The reason for this is that at each stage of your intervention, whether in planning, implementation or evaluation, you will need to check whether you still fulfil CLASP principles. A major issue is, for example, that you keep consulting the beneficiaries and including them in your intervention in some way. If not, you will have a legitimacy gap. This gap is one that we have identified quite often. We will make sure this continues to be highlighted at the start of each chapter, when indicating what part of the cycle we are at.



## RATIONALE BEHIND THE POLICY INFLUENCING CYCLE

There are two main reasons for having a structured cycle like the PIC:

### In many cases, organisations start policy influencing activities without proper planning

Organisations undertaking policy influencing interventions often do not set up a strategy to understand the intended results or even impact of activities and fail to cooperate effectively on results. The same problems can be identified for project management. The underlying problem is that naturally when a certain problem is first identified organisations jump towards finding solutions and executing activities with a view to solving the problem. Just think of how many times you have seen organisations in their projects and policy influencing interventions jump from the 'identification of the policy issue' to 'delivering the final message' without going through the other steps. Using the PIC forces you to think about planning, but also about keeping your beneficiaries on board and such things as budgeting for policy influencing and monitoring and evaluation.

### It makes organisations aware that a policy influencing intervention is part of a larger development strategy

In our experience too many policy influencing interventions are done in total isolation of other types of interventions working towards the same goal or they stop at a point where true change has not been achieved yet. For example a law is passed, but there is no follow-up on its implementation. In the following chapters you will be introduced to planning methods, the most important of which is the Theory of Change. A Theory of Change allows you to understand a policy influencing intervention in the larger context of other interventions to achieve true change in the lives of beneficiaries.

## TIPS for practical application and facilitation

The policy influencing cycle is helpful to getting started with a policy issue. It is not a road map that you can follow, expecting that you are going to be successful after having closed the circle at the last step. The red bricks are the concrete stepping stones, and the green mortar is the work that you have to do in order to reach the next brick: it connects the stepping stones.

In the cycle you will address all the different steps repeatedly, and you will use all the tools alongside the cycle in order to keep aligned and effective in your policy influencing. Use CLASP as your quality check list, and your effectiveness will increase.

## QUESTIONS for further reflection

- Does your organisation identify policy issues while developing its vision, mission and strategy?
- Is time and budget reserved in your organisation to go through all steps of the policy influencing cycle?





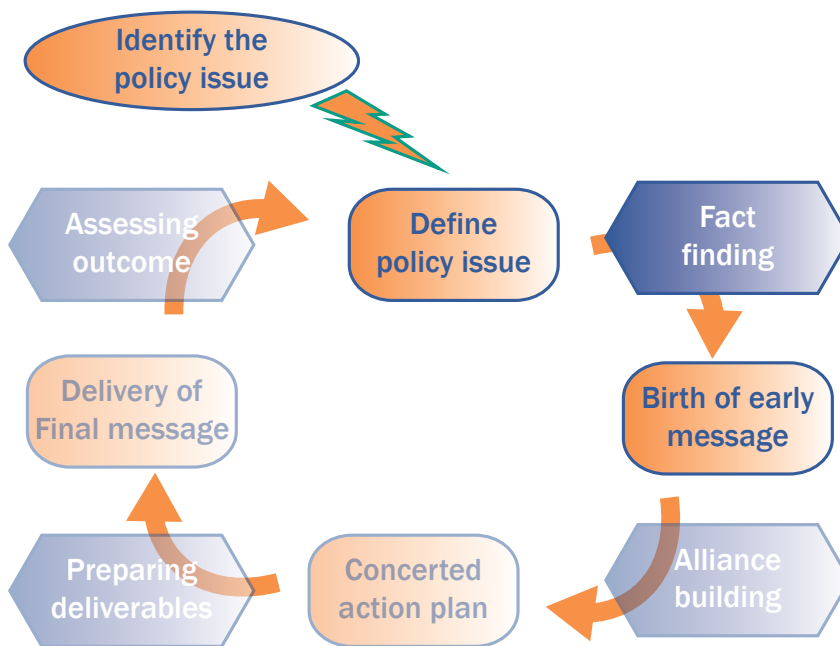
## **Part II**

# **Birth of the Early Message**

## INTRODUCTION: WHERE ARE WE IN THE POLICY INFLUENCING CYCLE?

*“Truth is compared in Scripture to a streaming fountain; if her waters flow not in a perpetual progression, they sicken into a muddy pool of conformity and tradition.”*

John Milton



A commonly heard question about policy influencing is, how does one decide to do policy influencing on a particular issue? How does Amnesty International decide to take up a worldwide campaign on the rights of women, or how does Fair Food decide to lobby for sustainable production of soya? How do you decide to start influencing policies and behaviour with regard to access to official documents in Kosovo or try and influence stakeholders to have better implementation of laws protecting women from domestic violence in Bosnia and Herzegovina?

There really is not a simple answer to this. However, it is the preliminary step towards working on policy influencing. Somehow you decided there is a situation that needs changing through policy change or the behavioural change of decision makers. And you have decided that you will work on this, instead or besides other ways of working on the issue. For example, in the case mentioned above of domestic violence you may also work on psycho-social assistance for women, or work on educating women further so they have perspectives on the labour market to become economically independent. These would not entail policy influencing per se.

We will start by exploring how you can identify and define a policy issue. It is useful to bear in mind the somewhat complex and opaque nature of these steps. Identification never just pops up, neither is it a purely rational process that can be placed in tools and approaches. We will present the most common sources of identification (chapter 5). Then we will present a way to further define the policy issue through Theory of Change (chapter 6). This planning methodology will help you throughout the cycle. The birth of the early message is a further refining of the policy issue and it is essential to start strategising with it. We will go through a number of essential steps: beneficiary consultation (chapter 7), stakeholder analysis (chapter 8) and mapping the policy process (chapter 9). You will need to go back and forth in these steps in order to end up with a clearer picture of the policy issue: the early message.



*The manifestation NGO Days 2011, Pula, Croatia*



## **Identification of the Policy Issue**

## IMPORTANCE OF THIS STEP

*“If the doors of perception were cleansed everything would appear to man as it is, infinite. For man has closed himself up, till he sees all things thru’ narrow chinks of his cavern.”*

William Blake

Credibility refers to the *objective* and *subjective* components of the *believability* of a source or message. Credibility is thus a mix of *Trustworthiness* (as based more on subjective factors, but can include objective measurements such as established reliability like research and facts), *Expertise* - also referred to as *evidence based advocacy* - (which can be similarly subjectively perceived, but also includes relatively objective characteristics of the source or message (e.g. credentials, certification or information quality) and finally the *persons’ charisma* and *physical attractiveness* (which is a subjective factor only).

It has become an important topic since the mid-1990s, as internet has increasingly become an information resource though not all information is reliable.

At some point in time you deliberately decide to intervene by influencing policies. Either as a result of a more or less rational process, an obstacle you find in your path or otherwise based purely on feelings. There is absolutely no clarity yet about what you will be focusing on specifically or how and with whom you will do it. In order to be able to start doing that, you will need to define the issue further.

### **Example of identifying policy issue**

Sanitation in rural areas in Ukraine is a problem due to the deterioration of the plumbing and sewerage after communism, and the use of pit latrines in densely populated villages. Ground and drinking water is polluted, and babies die of blue tongue disease. The solution is to install *ecosanitation toilets* – a closed system in which the detriments are collected in containers and used as fertilizer after compostation.

Unfortunately, no regulation is in place in the country, and therefore it is forbidden to build these eco-toilets.

You have to decide now: to *change the policies and regulations* related to sanitation and drinking water in Ukraine, or find another practical solution within the limits of the law.

Secondly, policy influencing interventions look for solutions of large scale and complex problems in society. The success of your policy intervention depends on how you select your issue, with whom you select your issue, know who else cares about your issue and how well it is understood by all. Both facts show the importance of this step of taking a conscious decision to influence policies. It is not easy, it is serious business, and it has to be well performed.

In organisations, the process of identifying and defining the policy issue (following chapter) in many cases will go hand-in-hand. However, we deliberately separate them to show that deciding on policy influencing is something you do consciously and plan for consciously. It is not a side-activity – it is part of a bigger organisational goal, as will be shown in this Manual. You should assure that others within your organisation, especially director(s), manager(s) and board support you. As you will see in the rest of the Manual, policy influencing takes time, costs money, and its results are often long-term and quite difficult to measure. For this you will need their support: their conscious decision.



## SEVERAL WAYS OF IDENTIFYING AN ISSUE

To identify a Policy Issue is an important step. The reasons to start a policy influencing initiative can differ. It can be a personal issue, or programmatic obstacles can occur, or policy regulations change which effect the implementation of your activities. Broadly, you can distinguish policy influencing as:

- an institutional activity;
- a result of specific policy decisions and violations or lack of fulfilment of citizens' and human rights.

### Policy influencing as an institutional activity

As an organisation you work towards a certain vision and mission and you contribute to that by implementing certain activities as part of your strategy. In your projects and programmes you aim to contribute to the mission and the vision. In sum you have a *theory* on how *change* occurs in your context and on the topic(s) you work on. One step in that *theory of change* may be to influence policies and to change behaviour of decision-makers. Thus in the way you look at how change will happen, you believe that policies and decision-makers need to be changed. If you have made a conscious choice to undertake such policy influencing and changing of behaviour as an organisation, as a way to achieve your mission and vision, this then becomes an institutional activity.

For example, a programme on food security may leave you needing to address new ways of getting food, as well as having better protection for local farmers through policy changes nationally and internationally. The important point here, for this Manual, is that you make a conscious decision to focus your work also on changing policies.

Developing a Theory of Change for your organisation, based on your vision and mission helps you think about strategies, such as policy influencing, and their position in your organisation. In the next chapter the Theory of Change as a planning tool for your intervention will be presented. Be aware that you can also use the Theory of Change methodology for analysing your organisation, its vision, the way the mission seemingly contributes to the vision, and the subsequent strategies in your organisation to achieve mission and vision.

### **Philanthropy, Serbia**

Philanthropy made a conscious decision to undertake policy influencing activities (advocacy) for the terminally ill. Philanthropy is a faith-based organisation linked to the Serbian Orthodox Church. They have worked on assisting and supporting vulnerable groups and the marginalised for two decades. In the beginning this was done mainly through direct assistance. The Church realised they should be working more holistically and pro-actively to support the vulnerable and marginalised. Due to their unique position and with their potential to locate, recruit and gather representatives of local stakeholders and social partners, they realised they were well placed to raise awareness on discrimination and stigmatisation. The awareness-raising on specific issues has led to advocacy in decision-making processes. One of the ways they work is by emphasising more beneficiary participation in decision-making processes, and also through capacity building of those beneficiaries. Thus, the content of the work, namely work for vulnerable and marginalised people was always part of the mission of Philanthropy. But the decision to work on decision-making processes and actively advocate for change was motivated by expertise built up in work and the realisation that change would occur when doing this. A conscious decision was made to have advocacy as an institutional activity.

## **Policy decisions and human rights**

The external political environment sometimes changes due to the creation of new rules and regulations, or even laws. This can take organisations by surprise. When these decisions create an obstacle, policy influencing on these changes and their consequences will be considered. A popular example is the reaction by many states to the terrorist attacks on the World Trade Centre and the Pentagon, known as 9/11. One reaction was to bring in strict anti-terrorism laws. In many cases these laws also affected freedom of association, freedom of movement and freedom of expression of legitimate CSOs. Many CSOs were thus forced to start influencing government policies with regard to anti-terrorism measures. Not doing so put their work in jeopardy. There are organisations that take such a change, especially when it is long-lasting, and make working on this core to their work. Then policy influencing becomes an intervention among others and the organisation's identification of the policy issue becomes an institutional activity as noted above.

### **Example of identifying policy issue on human rights**

Often the two ways of identifying a policy issue start in a much less rational fashion. An injustice takes place and one person or several people decide to take action on this based on their own feelings. Amnesty International started that way, but is now, obviously, taking a more systematic approach to policy issue identification. While not being a separate category of policy issue identification in this Manual, we recognise that this is often how it starts!



## TIPS for practical application and facilitation

There are so many organisations nowadays who feel they need to work on policy influencing as a complement to their 'normal' work. Inversely there are many organisations already working on policy influencing without ever naming it as such. The important thing here is to realise that policy influencing should be a conscious decision for an organisation.

A good way to find out on what basis organisations are undertaking policy influencing is simply by asking why they are doing it and why they believe they should be doing it and not someone else.

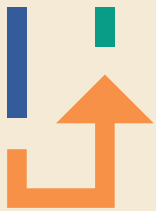
Common answers to the 'why' questions are:

- we got information from stakeholders/beneficiaries about problems;
- we discovered a problem in earlier projects;
- we had the feeling something should be done on this;
- we have been working on the issue for so long.

Those answers are often linked to the two types of identification described above. However, in most instances the first time policy influencing came up as an activity will be largely based on pure instinct and guts feeling. Identifying where an issue comes from becomes crucial as a starting point for further identification and formulation of a first message or position. Reflect back on this part once this has been elaborated upon more.

## QUESTIONS for further reflection

- How many policy influencing issues are being taken up in your organisation? How many are taken up rationally as a policy influencing issue? Did you think about these issues as being policy influencing issues? If so, what made you take them on as an organisation?
- Is the policy influencing issue embedded in the organisation? And is policy influencing in itself embedded in the organisation?



## **Defining the Policy Issue**

*“If you don’t know where you are going, any road will take you there.”*

Lewis Carroll

We have just indicated how you identify a policy issue. Now you have an abstract idea about what you will be working on, but that is insufficient. You need to have a clear and concrete message. Without such a message it becomes very difficult to strategise, identify who you will target and how. The first step to take after the identification of the policy issue is to further define the issue.

While, in theory, the identification could be an exercise you undertake yourself, as an individual or organisation, the further identification needs to be done in a more participative manner. In order to further define the issue we propose you make a contextual analysis by analysing actors, factors and your own organisation.

You can then use these elements further to determine a Theory of Change. This approach will help you identify how you believe change will occur regarding the issue you are working on and how policy influencing interventions are part of a larger strategy.



## HOW TO FURTHER DEFINE THE POLICY ISSUE

As explained above the PIC does not present a linear process and the different steps cannot always be distinguished. Thus, you may already have done quite a lot of refining of your policy issue when identifying the issue as presented above, in particular when the policy issue is part of your institutional activity.

In that case you have probably made quite an elaborate analysis of the problems and the context you operate in, leading you to see that, in order to achieve results in your area of work, you may need to undertake particular policy influencing interventions.

We propose that the further definition of the policy issue is done through a planning method called Theory of Change. Before being able to do a Theory of Change you must have a thorough understanding of the context in which you operate and the context in which you will work on the identified issue.



## CONTEXTUAL ANALYSIS

The contextual analysis presents the baseline of your work. It is the departure point for planning your future interventions. Having a good contextual analysis allows you to make informed choices for your interventions. The contextual analysis presents the situation as it is now and provides the basis for thinking about how the situation should be. It is here that you start understanding more about the issue you work on, thus making it more precise, and elaborating on what and who to change and why this change should happen.

A contextual analysis should contain at least three types of analysis that sometimes overlap:

- analysis of actors;
- analysis of factors;
- analysis of your own organisation.

These analyses are supplemented by a planning methodology called Theory of Change. This planning methodology helps you further define the policy issue and how to place your policy influencing intervention in a wider context.

A popular participatory tool to make a contextual analysis and bring together information you have in a comprehensive structural fashion is the ‘problem tree.’ An example of its use is in the final part of this Manual. It is an extremely useful tool though it must be moderated very carefully and the subject of analysis should be well-defined. It is often complemented with an ‘objective tree.’ This can be a useful planning tool, but on the next pages you will find another planning approach called Theory of Change. Particularly for policy influencing interventions we would recommend you try this approach. The Theory of Change approach is especially useful to analyse complex situations. It is often those situations you will be working on in terms of policy influencing.

### Analysis of actors

A thorough analysis of actors is made in chapter *Beneficiary Participation*. In that chapter the analysis is focused on determining who are the most important and influential actors concerning and related to your issue. This serves two purposes that may overlap:

- who are you going to be working with in your intervention in planning and implementation. How will you work with them, at what level of participation in planning and implementation;

- strategising, or who will you target in your intervention, with whom will you do so and how will you do so.

At this stage, in analysing the context, you will want to have some idea of who the stakeholders are who play a role in the issue. It is best to start listing stakeholders with others and get a rough idea of their role regarding the issue to list stakeholders, determine their influence and importance with regard to the issue you are working on. You will already need to do this analysis with others, including beneficiaries. The way you determine who you will do this with is usually based on your own knowledge and experience of the subject. Your knowledge and experience will not be sufficient after this. You will need to work with others who complement your knowledge and experience. In undertaking the various analyses in order to determine who you will be working with in the planning and implementation stage of your intervention and how you will work with them, you may need to do the stakeholder analysis a number of times and thus make it more complete and precise as you go along.

#### **IMPORTANT**

*Do the stakeholder analysis with others, especially beneficiaries. Determine who will be included in the planning and implementation process and how they will be included. Determine with them what strategy you will use in order to have a successful intervention.*

## **Analysis of factors**

A second pillar of the contextual analysis is an analysis of factors. These are factors that are likely to influence your organisation and/or your policy influencing intervention on the issue. They may be internal to your organisation, as well as external. A common tool used to identify relevant factors is the PESTLE analysis. These are all types of factors you should take into account when analysing a context. The PESTLE analysis as a form of factor's analysis is also used as the Threats and Opportunities part of a SWOT analysis.

*PESTLE stands for:  
Political, Economic,  
Social, Technological,  
Legal, and  
Environmental.*

In undertaking such an analysis you can get lost quite quickly, and end up analysing too much. Therefore it is important to look only at the context relevant to the issue. In analysing

the factors the issue may become more specific. Thus the analysis process itself may help you further define the policy issue.

The PESTLE analysis is further explained in the Toolbox of this Manual.

The factors analysis can be supplemented by an environmental scan. Such a scan is particularly useful when you have a more specific idea of your intervention. It allows you to understand the factors in the context of your specific intervention analysing:

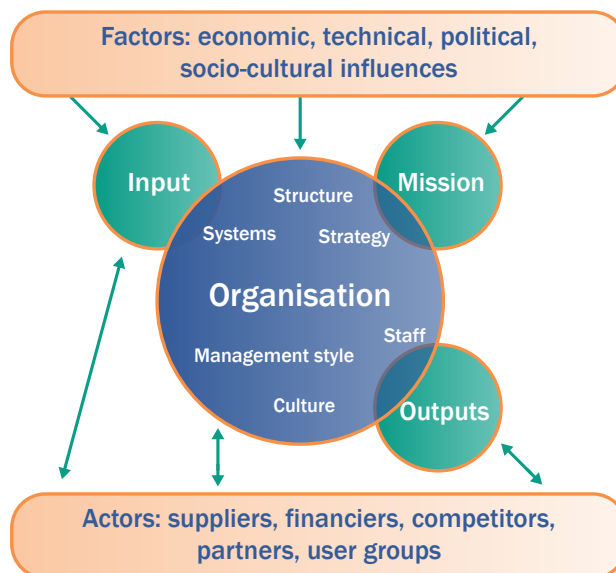
- the probability of the factor (if it is a factor likely to affect the intervention in the future, such as war, natural disasters, or political changes);
- the potential impact if it happens;
- the influence you have over the factor.

The environmental scan is further explained in the last part of the Manual.

## Analysis of your own organisation

This part is often forgotten, but we do consider it an important pillar in the contextual analysis. Analysing your own organisation helps you place yourself within the context, in particular regarding the issue. It also helps determine whether you are best placed to intervene based on internal aspects of the organisation. And it helps identify potential bottlenecks or lack of capacity in working on the issue.

It is always useful to undertake a full analysis of your organisation. However, time and resources are often a problem. Additionally, for the purpose of the contextual analysis it is not needed.



Integrated Organisation Model

A useful way to analyse the organisation is by taking the Integrated Organisation Model (IOM) developed by MDF. The IOM is a model that can be applied to describe, to analyse and to diagnose organisations. A graphic representation is below:

In the IOM you find the different elements we dealt with above: actors and factors. This places the organisation within the context. These actors and factors influence the organisation. The organisation is represented as the entity that converts inputs into outputs, and different aspects within the organisation make this possible, or slow down the process.

The mission is semi-external to the organisation as it is oriented towards the outside and comprises aspects of internal functioning. A good mission indicates clearly what an organisation should, and should not, do.

The output of an organisation comprises all material and immaterial products and services delivered by the organisation to its various target groups such as clients or customers.

The inputs of the organisation include all the resources available for generating the products and services of the organisation.

The internal elements of the IOM:

- **structure:** the structure of an organisation can be defined as the formal and informal division and coordination of activities and responsibilities.
- **systems:** this comprises the internal processes that regulate the functioning of the organisation.
- **management style:** can best be described as the characteristic pattern of behaviour of the management.
- **strategy:** refers to the way the mission is translated into concrete objectives and approaches.
- **staff:** refers to all activities, rules and regulations related to staff motivation and utilisation and development of staff capacity.
- **culture:** is defined as the shared values and norms of people in the organisation.

With regard to the issue you want to work on, specifically in undertaking policy influencing interventions, you should already scan whether your organisation is best placed to do so and what you would need additionally within the organisation or from other actors to have a greater chance of success.

### When to undertake an IOM analysis?

A 'quick scan' of your organisation can be useful in undertaking a contextual analysis. It can be equally useful, and perhaps more exact, to do it once you have a more concrete idea of what your intervention aims to achieve concretely and how it wants to do so. This would be after undertaking a Theory of Change exercise. In that case you have a more concrete idea about what you will do and what is needed for that in your organisation.

A checklist can be found in the last part of this Manual. Do use it as a reference. This means you do not need to answer every single question. Only those that are relevant to your organisation and your issue.



## How to collect information?

With advocacy and policy influencing it is extremely important to keep checking the context. It sets the baseline upon which you base your policy influencing and as such informs the issue you are working on, how you are working on it and with whom. Changes in the context, such as factors, actors and your own organisation will influence all these aspects. More so than with many other projects there are many variables that may influence the context, many of which are probably outside of your control. This also makes it very difficult to measure the effectiveness of policy influencing. See the chapter on monitoring and evaluation of policy influencing.

Collecting relevant information is thus extremely important. For this there are several practical ways of undertaking contextual analysis with regard to the issue you will be working on. You can undertake surveys, questionnaires, focus group discussions, desk studies, or academic research. You can consult stakeholders, such as governmental officials, civil servants, other NGOs and prominent figures. Media outlets may be useful and a lot of information can be found on the internet.

A good way to collect information is not only from other stakeholders, but also with other stakeholders. Getting a different perspective in the type of information you collect may be very useful in your analysis, it builds up relationships you may need to foster and creates a mutual understanding of the issue.

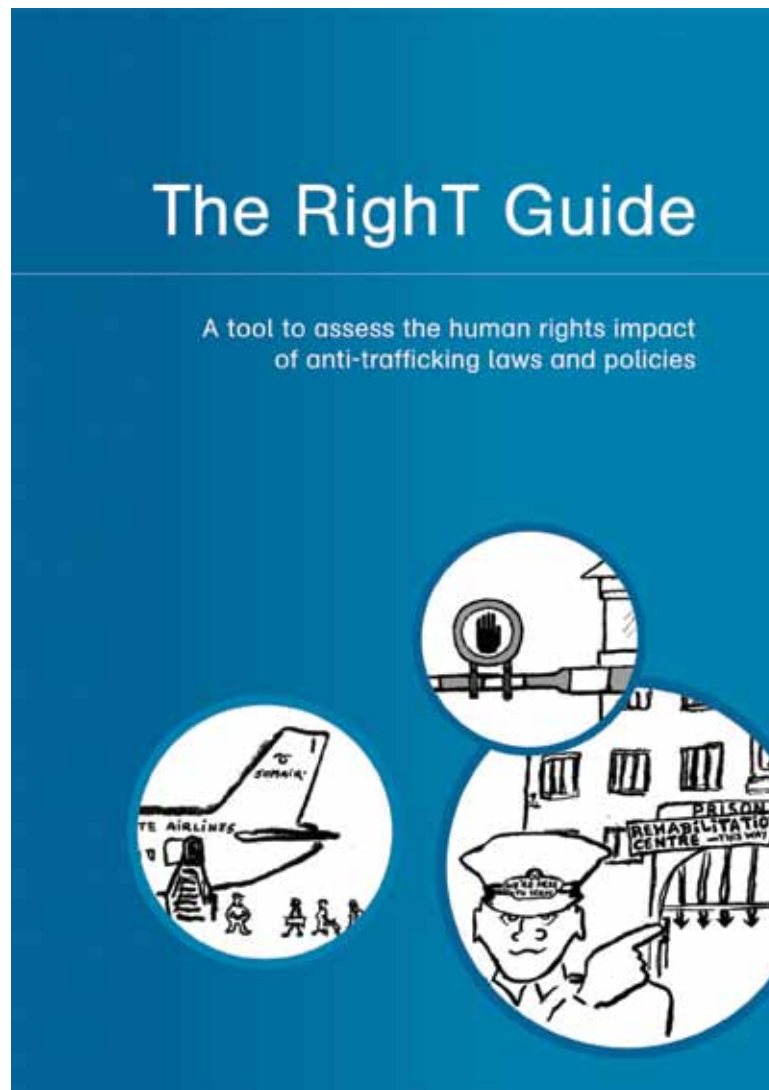
## Contextual analysis and human rights-based approach

Applying a rights-based approach puts a legal framework to your policy influencing work from the perspective of human rights as ratified in the UN Conventions on Human Rights. It may lead you to undertake a contextual analysis focusing particularly on rights, rights-holders, duty-bearers and factors related to power and marginalisation. Such an analysis can be done using the different tools provided in this Manual.

An importance and influence matrix as explained in chapter 7 would then focus more on power relations and the PESTLE will be very much translated into whether these rights are being violated or not. However, there are also a number of specific tools that helps you develop a contextual analysis focusing particularly on the situation regarding human rights.

An interesting example of survey-like contextual analysis on a specific issue and continuous monitoring of the issue is undertaken by Transparency International Turkey. They have a toll-free hotline and other citizen-engagement outreach to report cases of corruption. The information gathered from this is used to undertake evidence-based advocacy for structural reform.

There are a number of tools that guide you in making a contextual analysis based solely on linking certain problems you identify to potential human rights violations. These tools are linked to specific violations of specific rights. Example of this is the RightT Guide developed by Aim for human rights and further developed by Rights4Change in the Netherlands. These tools consecutively allow you to make a contextual analysis based on, for instance, Health Rights of women and the impact of anti-trafficking measures on human rights. Most of these tools use a human rights-based approach which will be touched upon in the next chapter on beneficiary consultation.



## THEORY OF CHANGE

In order to discover how to achieve the improved situation for your beneficiaries and who and what changes before that change for the beneficiaries happens, you must agree with others, especially your beneficiaries, what change should occur in the end, or vision, and how to get there. This step-by-step process from how the situation is now to the vision of the future is your Theory of Change. You will look towards playing a role in making the Theory happen.

### What is Theory of Change?

Increasingly it is proposed that organisations working on policy influencing, either as their core business or as part of a programme or project, formulate their theory of change. In this chapter we will provide an overview of the Theory of Change. If you do a Theory of Change, it is recommended you read more materials about it or get the process facilitated.<sup>2</sup> When we talk about Theory of Change we talk about a certain approach in project management. However, we realise a method often becomes so complicated and full of a set rules that it almost seems undertaking the method is an end in itself. The proposed methodology below is one you can adapt to your own context. The only thing we want you to do, in small steps, is agree on what you want to change and agree on your theory of how that change will come about. When you do that with others, you are forced to be precise and explain why you believe change occurs. Agreeing on that also is an important aspect of the approach.

At its most basic, a theory of change explains how a group of early and intermediate accomplishments sets the stage for producing long-range results. A more complete theory of change articulates the assumptions about the process through which change will occur, and specifies the ways in which all of the required early and intermediate outcomes related to achieving the desired long-term change will be brought about and documented as they occur.

Source: *The Community Builder's Approach to Theory of Change*<sup>3</sup>

Theory of Change is a planning methodology describing how change processes are envisioned. For planning on policy influencing a methodology is needed that focuses on changes, and particularly behavioural changes. After all, you want a Government to change, a community to do things differently or companies to change. Such change processes are large and complex. They do not occur by undertaking one intervention, nor are they achieved by one actor. Usually many other things have to change before your ultimate target changes. And for that you will need to undertake different interventions at different stages.

<sup>2</sup> A good starting point is the website of Keystone Accountability: <http://www.keystoneaccountability.org/analysis/ipal>, as well as the website <http://www.theoryofchange.org/>

<sup>3</sup> *The Community Builder's Approach to Theory of Change: a Practical Guide to Theory Development*, Andrea A. Anderson

*“The Theory of Change approach makes explicit the assumptions – or theories – about why and how a program should create social change. The Theory of Change maps the relationships and steps between program activities, interim goals, and short-term and long-term outcomes, while also accounting for context, key allies, as well as unintended consequences. The organization develops their vision of what “success” looks like and highlights the social changes they desire. This mapping helps an organization to understand where they presently are and how they aim to achieve their vision, paying particular attention to identifying who will help them achieve their specific goals as well as outlining what is needed in order to maintain desired changes. They also consider what kinds of working relationships with specific constituents are needed in order to achieve their vision more effectively. The preconditions for achieving change are also mapped according to each constituent group in order to ensure solid assessment of the links between processes and outcomes. Finally, the method emphasizes the role of the organization’s constituency and their role in developing the Theory of Change.”*

Source: AWID<sup>4</sup>

## When to do a Theory of Change?

Developing a Theory of Change is recommended while your project or programme is in the planning phase. But you can also do it during the implementation of the project or programme, and it can be especially useful as a way of identifying potential obstacles. We have placed the Theory of Change at the point of defining the policy issue, thus early in your planning process for it allows you to define the policy issue, and provides a good basis for discussion during the beneficiary consultation. After having undertaken the beneficiary consultation and the stakeholder analysis you should be able to further refine the Theory of Change. Even beyond that, the Theory of Change allows you to understand your work in a larger context. In that way it is also a solid method to identify other partners to work with and possibly to build alliances with. See the chapter on Alliance Building. You can use your Theory of Change in alliance building to make sure everyone has the same understanding of the change process and the objectives of the change.

At the end of the Theory of Change presented on the next pages you should have:

- a good understanding of the context;
- an overview of changes that lead to the ultimate change you want to see happen;
- an idea of work of other stakeholders and potential allies or partners;
- a good definition of the policy issue you will be working on;
- a first draft of your early message;
- a basis for further strategising and further analysis.

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<sup>4</sup> Srilatha Batliwala and Alexandra Pittman, *Capturing Change in Women’s Realities: A critical overview of current monitoring and evaluation frameworks and approaches*, Association for Women’s Rights In Development, December 2010, p. 26-27.

## How to build a Theory of Change?

There are five steps in undertaking a Theory of Change. These are presented on the next pages. Each step contains the content of the step and rationale behind it. Each step is complemented with an example.

### *A case study from Rubudunia*

The case study is about paid employment for women in the fictional country Rubudunia. We are a development organisation working on women's participation on the labour market. We believe this is, amongst others, best achieved through better education for girls, most notably on secondary school. That is our main area of work! In Rubudunia there is a serious problem with regard to girls not going from primary schools to secondary schools. In order to analyse the problem and potential changes needed to address the problem, the organisation makes a Theory of Change. This Theory intends to understand what small steps will be needed to change the problem and what the organisation could start by doing.

## STEP 1

## Clarify the ultimate goal

During this step, the ultimately desired change is identified. This change is called the ultimate goal or the vision of success, or dream and only occurs over a longer period of time (5 to 10 years). Even though this is a long-term goal you should be as specific as possible. You can formulate the ultimate goal based on the issue you are working on (in our case education for girls in Rubudunia) or on the project you are working on.

You can also undertake the Theory of Change after having formulated a more detailed intervention and when you want to check with others if it will be successful. Or, you can take the vision of your organisation as a starting point for joint strategic planning when you want to check whether your theory of change applies for everyone in your organisation. Depending on the level you want to analyse you can formulate a vision that is more ambitious.

Young women in Rubudunia increasingly have better paid jobs. This means:

- schools offer girls and young women education adapted to the needs of the labour market;
- government provides jobs to young women;
- parents of girls send their daughters to secondary school.

Girls attend good quality primary and secondary schools in Rubudunia. This means:

- schools offer gender sensitive education to girls;
- secondary schools' curricula for girls are adapted to the needs of the labour market;
- parents send their daughters to secondary school;
- primary schools offer education to girls with a view to letting them go to secondary school.



In example 1 the vision is much larger than in example 2. Both are useful and right, but the Theory of Change in example 1 will obviously be much larger. Secondary school attendance is only a part of the larger vision. This could be the vision of our organisation. The organisation says: we believe that women will have better employment opportunities if education is improved. You could even think of a step above saying the vision is increased development of the economy. The assumption would be then that participation of women in the labour market leads to a better economy. That would make the Theory of Change enormous as there are obviously many other factors contributing to a better economy. The Theory of Change would become unmanageable.

The second example is then more focused on the specific programme or project the organisation is working on. The vision there is directly linked to better quality education for girls. Explaining what the vision means forces you to be exact. The statements look like mission statements indicating what and who you believe needs to change in order to get to the vision. Forcing yourself to be concrete is difficult at this step. A vision is more like a dream and people have difficulties becoming precise in a dream. Often all encompassing words such as empowered or aware or richer are used. Even though the vision as it is formulated in both examples still has some vague words (for instance: better), the aforementioned words are much too vague. Everyone has a different notion of empowerment or richness and awareness of something still does not indicate change. Thinking about your vision with others already forces you to be concrete and explain terms. Forcing yourself to think in terms of concepts such as what do I see when the vision is achieved also helps a lot. Finally you can even ask participants in a Theory of Change workshop to draw their vision making sure they draw changes that can be seen and actors who have changed.


**STEP 2**

## Formulate the outcomes - areas of intervention

Once the goal is defined, outcomes – intermediary steps – necessary to achieve the ultimate goal are identified. These outcomes define the areas of intervention. The outcomes indicate changes for individuals, organisations or communities. Only results and situations are described, not activities. Formulate these as concretely as possible.

This is what you have done when making the vision concrete. Be sure to take the statements apart and check them again. It is important at this stage to formulate these areas of intervention in agreement with other stakeholders. It is especially important to ask: do we believe that by changing the actors in the way described we will get to the vision? Making assumptions explicit is an important element of the Theory of Change. It forces you to explain why you believe someone needs to change something.

Girls attend good quality primary and secondary schools in Rubudunia. This means:

- schools offer gender sensitive education to girls;
- secondary schools' curricula for girls are adapted to the needs of the labour market;
- parents send their daughters to secondary school;
- primary schools offer education to girls with a view to letting them go to secondary school.

We take example 2 from above. The vision has three areas of intervention or possible outcome. Each of these is linked to an actor who needs to change something at some point in the future. The organisation believes that these four outcomes will achieve the ultimate change in the vision, which may contribute to the ultimate change in the vision of example 1 above. Thus the organisation assumes that achieving these changes will lead to girls receiving good quality education in Rubudunia. Note that the term good quality is already explained in more detail. The organisation needs to find good quality education, and education that is gender-sensitive, or attuned to the needs of both boys and girls, adapted to the labour market and adapted to the needs of secondary education.

When undertaking this exercise with other stakeholders the term 'good quality' may of course be given another meaning, or an even more precise meaning.

Also note that from these statements we can work out wherein lies the problem. The organisation believes that girls are not attending good quality primary and secondary

education, because there is no good quality education for girls and parents are not letting girls go to secondary school. In this way the Theory of Change also serves as a more positive problem tree analysis.

At the end of the first two steps you will have a goal and outcomes that lead to it. In the example there are different actors that need to change something: parents, primary schools and secondary schools. These outcomes, depending on the context, may be interconnected or they may be completely separate. The outcomes are areas of intervention, thus your intervention will focus on the change of one actor.



### Create a 'so-that chain' or pathway of change

In this step you start mapping what changes need to be put in place by whom, so that you can achieve the change you formulated in the area of intervention. The chain of changes is called the 'so-that' chain or 'pathway of change.' One change takes place so-that another change happens and you create a pathway to achieving certain results. The different steps are called pre-conditions. They are pre-conditions to various outcomes. These pre-conditions must also be formulated as results.

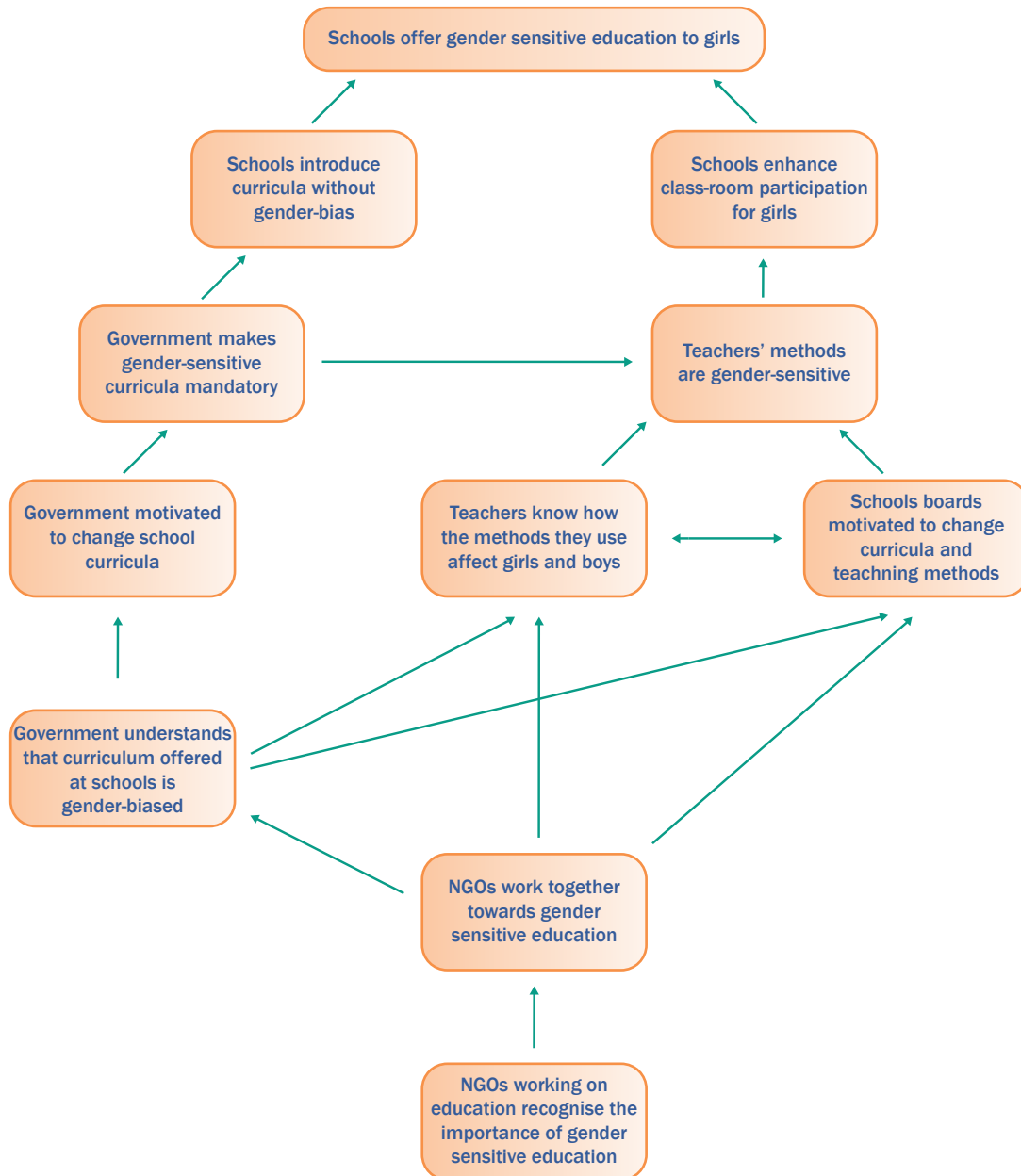
We suggest making general so-that chains for each area of intervention. This means only agreeing on the bigger steps leading to the desired change. This will make explicit what and who else needs to change in order to get to the bigger desired change, which is the outcome. It will also make explicit where possible policy influencing interventions need to take place. Having agreed on the larger so-that chains you can discuss with others what you will work on. In your case you will pick out the major policy influencing issue in the so-that chain and start working on that.

It might be that not all results can be connected. Results may occur independently or in a highly interrelated way, sequentially or simultaneously, from single strategies or multiple ones. Results may lead to common goals or separate ones. This is where the Theory of Change differs most from the more commonly used planning method, and which is where the logical framework comes in. The logical framework presents sequences of change in a pre-set format of activities leading to outputs, leading to outcomes, and contributing impact. The Theory of Change allows you to present the change in a less linear fashion which is not limited to pre-set chains. It allows you to present complicated change processes in many more steps with links between different steps. Essentially it presents the situation in a much more realistic fashion.

There are different approaches to the 'so-that chain'. You can work from the current situation to the desired situation or the other way around, starting with the area of change. One idea



is to write down on a card the potential change that you envisage and in this way you will be able to visualise the change, and thus be able to change it around in the chain of events. In the example, you work out some steps of the so-that chains linked to the four outcomes. In our example one step could look like this:



In this case we only show a part of the so-that chain in order to show the general steps and how these steps can be interlinked. You can also see that the organisation believes that one important step towards gender-sensitive education is that Government makes it mandatory. For that to happen, a policy change needs to take place. This is part of how the organisation sees the context. Apparently in Rubudunia there is no gender-sensitive education policy. In other countries there may be a gender-sensitive education policy, but no effective implementation of it.

Here you see the policy influencing issue appear quite concretely. The right side of the chain looks more on capacity enhancement of teachers and schools, while the left side really focuses on policy influencing. It is important to note that the organisation believes that the right and left side may influence each other. In this case, the organisation may want to motivate teachers more towards working with more gender sensitive teaching methods.

In Rubudunia, in this case, in order for schools to change their behaviour towards girls, the organisation believes that Government should change, as well as teachers and school boards.

Note that this is still quite crude as Government is identified as a single homogeneous entity. If the analyses in the later parts of the Manual are undertaken, this part of the ladder will become much more specific.



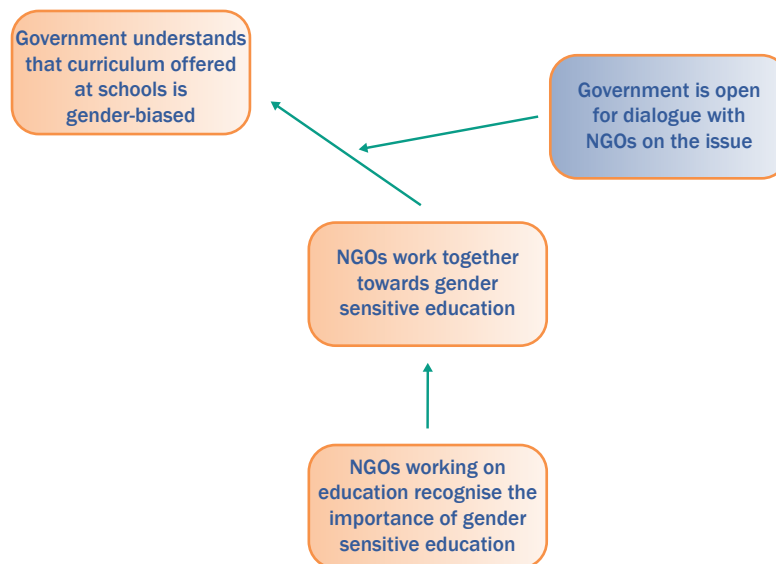
## Make your hypothesis explicit

What are the philosophy or principles behind the vision and the 'so that' logic? In Theory of Change literature this hypothesis are called 'assumptions', but as we consider this confusing as the Logical Framework (something many organisations, particularly working with the European Commission, work with) also has assumptions, we prefer the hypothesis.

Hypotheses are particularly important in two places and for different reasons:

- at the top of your chain the hypotheses indicate why you believe the outcomes are important and why you believe the outcomes will lead to the vision. In the example we already noted that the organisation believes that the four outcomes lead to better education and to girls attending school. They believe that girls are not attending secondary school due to pressure from their parents and that quality of education is linked to gender-biased education and that education is not adapted to the labour market;
- hypotheses are also very important within the so-that chain. There the hypotheses make it obvious why you think a certain change will happen. In the example,

the organisation believes that change will only occur when NGOs work together. However, they also believe that Government will be receptive to NGOs. A hypothesis, for example, between “NGOs working together” and “Government understands that school curriculum is gender-biased” is that Government is open for dialogue with NGOs on this issue. This must be made explicit in the so-that chain, because this needs to be monitored. It especially needs to be monitored if in your factors analysis you have discovered that there is an inclination not to view NGOs as a serious partner in dialogue, for example through the enactment of restrictive legislation.



If the organisation thinks it is unlikely that Government will want to talk to NGOs on the issue, then it becomes part of the so-that chain. It is something you need to work on. In that way it works similarly to assumptions in the logical framework, but it is much more precise and forces you at each small step to make it clear why you think change happens.

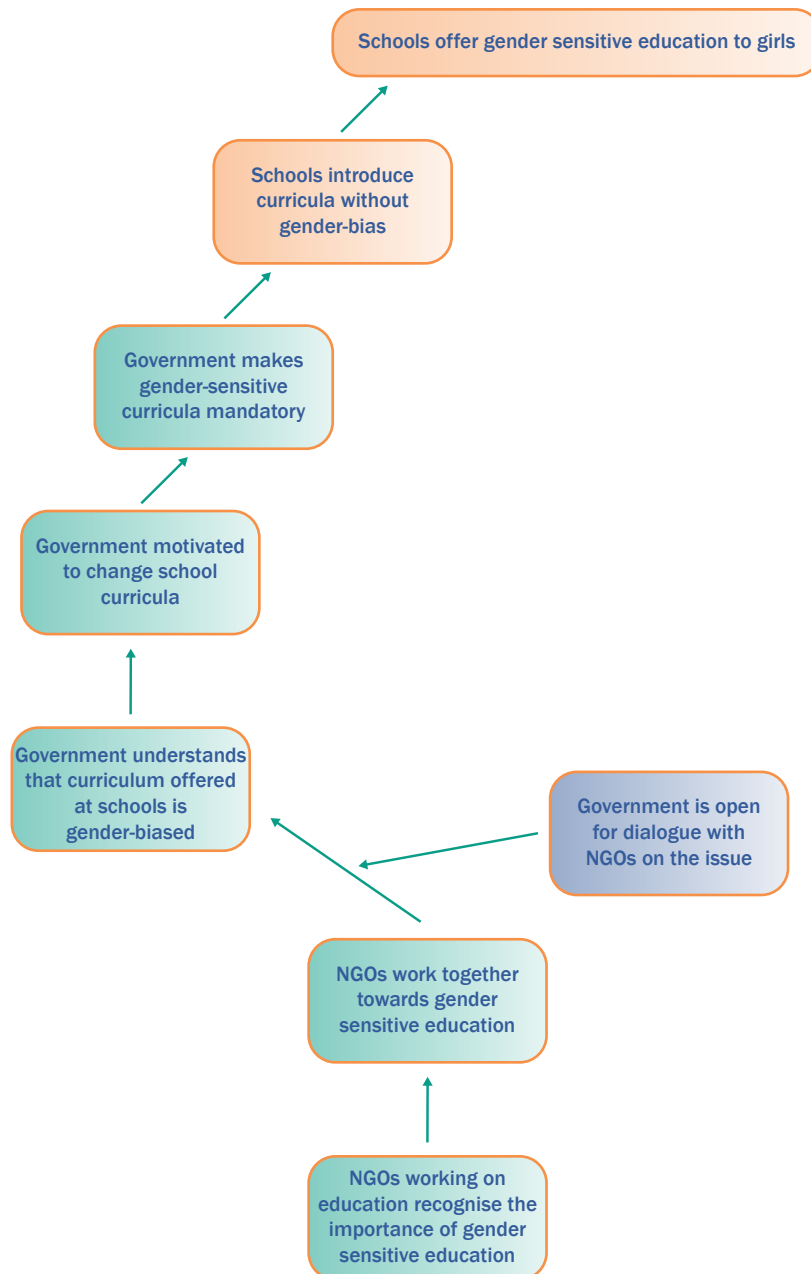
## STEP 5

### Choice of strategy

In the strategy a broad description of your action or approach is given. This is where you start elaborating on the piece of the so-that chain you want to be held responsible for. In terms of policy influencing issues, this is where you define your policy influencing issue and start elaborating on your message or position with regard to the policy influencing issue.

You will probably need to work out that part of the so-that chain much more in smaller steps. Again this is best done with other stakeholders.

In our example the organisation has indicated it wants to work on Government making gender-sensitive curricula mandatory and all the steps under this also become the responsibility of the intervention, marked by boxes in green.



In the example what the organisation wants to change is a school system represented by schools who, apparently in Rubudunia, enforce gender bias and ultimately make it impossible for young women to compete on the labour market. The organisation believes that one way to change this is by, at least, changing Government's attitude to the problem and forcing them to intervene. That is a policy influencing issue. Again, as mentioned under step 3, the Government is still a homogeneous entity here. Once you start working on this part of the chain, you will be forced, through the analyses presented in the next chapters, to be much more precise about who needs to change. The steps you envisage in the chain will also become smaller and more precise.

### **Choice of strategy**

In the example the organisation chose together with the stakeholders to concentrate on a small part of the Theory of Change. Such a choice can be based on various criteria, amongst which are:

- urgency of the issue;
- feasibility;
- sustainability;
- interdependency of the issue with other issues leading to the vision;
- importance of the particular issue to beneficiaries.

Also important are more internal aspects, some of which we already dealt with looking at the identification of the issue above and when looking at ones' own organisation:

- the issue fits in with the overall mandate of the organisation;
- expertise and experience on the topic and policy influencing;
- available budget;
- available human resources.

This is why it is crucial to re-check the analysis of your own organisation.

The timeline is four years. Thus within four years the organisation wants to see the change happen. The underlying hypotheses, the analysis of factors and the results from the stakeholder analysis may affect the level of ambition. That is why this strategising must be done with other stakeholders. It is especially important to make sure that beneficiaries understand on what criteria the choice is based. In that sense the Theory of Change becomes an expectations management tool, whereby it is made clear with others what to expect after four years, and what not to expect.

**STEP 6**

## Further strategising

From this moment on you also start indicating who and what you aim to change in your intervention, you will start thinking about how to make sure the changes happen. Obviously, since your theory of how change happens is based on prior changes happening, you start from the bottom up.

This is where you start making strategies based on the issue and the first message. This is where you start making action plans. You will need more input from other stakeholders and input from your beneficiary consultation (next chapter), stakeholder analysis (chapter 7), the policy process scan (chapter 8) and alliance building (part 3 of the manual). In those chapters we will make the link to the Theory of Change in order to indicate that it needs to be filled in more detail or, perhaps, reviewed.

Be sure to identify these automatic changes and non-automatic changes as it also helps you gather the underlying hypotheses. We must repeat that getting those underlying hypotheses are important to get a common understanding of the issue you are working on. In addition these hypotheses must be monitored as these may not come true and block all change.



## Advice in undertaking Theory of Change

It helps to *visualise* the steps while developing the ToC to enable full participation of the different stakeholders in the process and the ToC. Later on this can also easily be used in the design of the intervention (the actual planning – see chapter 10).

With visualisation, we mean that you should use pictures at different stages and use cards of different colours and sufficiently big posters to enable you to make an elaborate Theory of Change. An example of an exercise with the Theory of Change is worked out in the Toolbox in this manual.

The Theory of Change also needs *good moderation*. Experienced facilitators in Theory of Change are needed in order to achieve a satisfying result. Making a Theory of Change also takes a considerable amount of time. Do take this time. If you do not and you do not use the Theory of Change as a backbone to your intervention you may end up having to spend a lot of time and money understanding where things go wrong, or conflicts might arise between allies or beneficiaries in the understanding of the changes.

## Other usage of Theory of Change

We will refer back to your Theory of Change many times in this manual. It is the backbone of your intervention strategy. You can use it to plan your interventions, and to understand the complex nature of the policy intervention issue and its linkages with other issues. You can also use it to identify possible partners and alliance opportunities.

Finally, you can use the ToC for planning, monitoring and evaluation (PM&E). For this you may want to take ‘your area’ of the Theory of Change and make a result chain of it which is similar to the logical framework and complete it with indicators, sources of verification and assumptions. This makes sense if this is your normal way of planning. However, you can also use the Theory of Change to monitor your intervention. For this you need to pay particular attention to the hypothesis you formulate. These are issues you will need to monitor closely.

Reconstruction of projects and programmes, especially those focusing on policy influencing is done more and more when evaluating such initiatives. Reconstruction is done with different actors, where the question asked is: what changes did you want to make? Why did you want to do that? How did you want to do that?

## INVOLVEMENT OF STAKEHOLDERS

You have not yet undertaken a thorough stakeholder analysis or systematic beneficiary consultation, but, obviously, you have already identified beneficiaries and other stakeholders in the identification and definition process. We would strongly advise you try to include, as much as possible, different stakeholders, especially those you envisage working with along with other experts, in undertaking the contextual analysis and the theory of change. When undertaking your beneficiary consultation the results of your first contextual analysis and theory of change leading to the definition of the policy issue will be discussed with them. We strongly advise you after taking the next step to re-visit the definition phase.





## TIPS for practical application and facilitation

The major challenge with undertaking a contextual analysis is doing it in a systematic way. We all have an idea of the context in which we operate, but, especially having worked on a particular issue for very long, we forget to communicate this to others. This is often one of the greatest pitfalls in policy influencing work. It makes us think in pre-determined solutions that are not based on the needs of beneficiaries, it makes us forget about changes that have occurred and are likely to affect the work and it makes us predictable. However you do it, in the end it is about undertaking and writing down your view on the current context and matching it with other people's views.

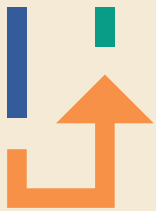
Doing at the very least analyses of factors, actors and your own organisation on the issue you will be working on is important. Do make the issue as specific as possible already without talking of solutions (something you see happen very often when one does a problem tree exercise: the problems often are disguised solutions). What Theory of Change approach forces you to do is making underlying assumptions about the context explicit. How you view future change says everything about how you view the current situation. This makes it possible to discuss these within your own organisation, as well as with others.

The best approach to undertaking a Theory of Change is to find an external facilitator. An external facilitator can keep an eye on the process, making sure the approach is a means and not an end in itself, and ask questions that seem obvious to you. The only rule you should follow is that you try and achieve consensus about the context. If you do not, it becomes impossible to cooperate closely. It is also very difficult to cooperate when there are still things which are not clear.

A final tip for application and facilitation is that you should agree with others on the issue on which you need to do a contextual analysis. This issue should not be too broad (i.e. poverty) or too vague (i.e. powerlessness).

## QUESTIONS for further reflection

- How far should you go in analysing the context? To which level of detail should you go?
- The analysis of context is often not financed. It is something you do before you get project financing. So how can you go about analysing the context in a participatory way without too many funds?
- Explaining the approach Theory of Change as a way to analyse the context, define your issue and start formulating your early message is quite complicated. How do you make sure that the exercise can be done without getting into a discussion about the approach as such?
- Context changes, also due to your intervention. How can you make sure that you keep an eye on the changing context and how it affects your intervention?



## **Beneficiary Participation**

## WHO ARE BENEFICIARIES?

*“It is not the function of our Government to keep the citizen from falling into error; it is the function of the citizen to keep the Government from falling into error.”*

U.S. Supreme Court

A beneficiary is a stakeholder. Stakeholders are persons, groups or institutions with interests in a process, such as policy influencing. There will be more in-depth information on stakeholders in the following chapter, but a beneficiary is a primary stakeholder. There are always beneficiaries with regard to the policy issue you are working on. These are people and groups whose lives are likely to improve due to successful policy influencing. However you put it, you are working towards influencing the lives of the beneficiaries.

Depending on the issue you defined your beneficiary group may be big or small, easily identifiable or hard to pin down. Most of the time you will notice that you have quite a clear picture of the beneficiaries as they have probably informed your choice of policy issue. The consultation of the initial group of beneficiaries should help to further define the policy issue and gradually move towards the early message in your policy influencing. Therefore the initial group may well be larger than the final group of beneficiaries.

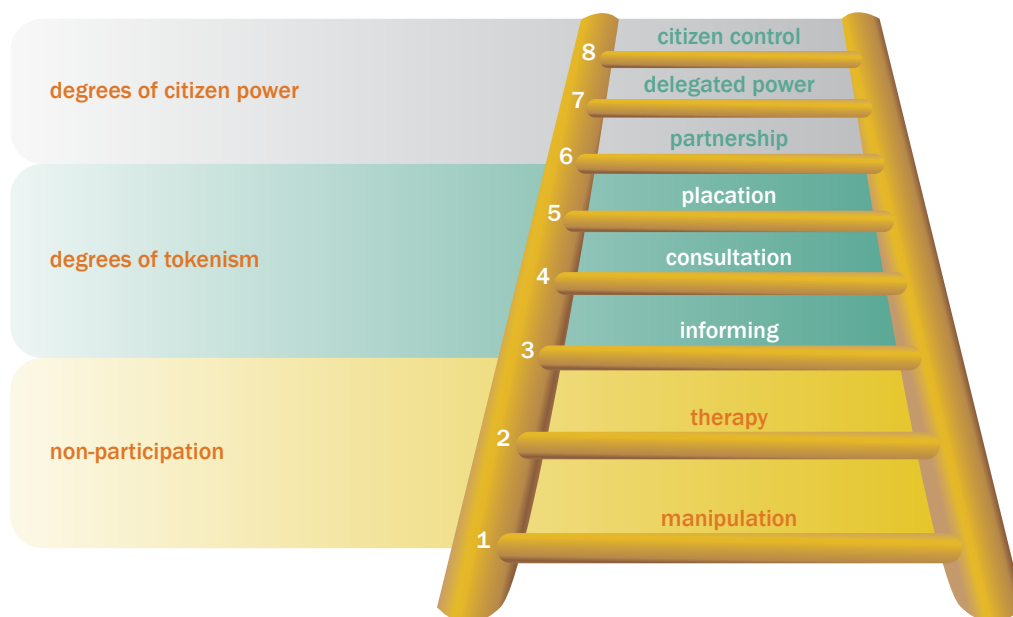
Your actions should be guided by the will of the beneficiaries and your actions should increase the power of beneficiaries, by empowering them.



## Arnstein's participation ladder

Beneficiaries should play a role in all stages in your policy influencing intervention, from planning, to implementation, to monitoring and evaluation.

Beneficiaries can participate in different ways in all those stages. Consultation of beneficiaries, especially in this early stage of planning, is a minimum. There are various more inclusive ways of participation, and there are several less inclusive ways of participation. We will explain these briefly using the widely referred to 'Participation Ladder' published in 1963 by Sherry R. Arnstein.<sup>5</sup>



She made a distinction between non participative methods, tokenism and citizen power. Citizen power includes the most participative methods.

Participation in this sense is about who has the power to decide and manage. In non-participative methods like manipulation and therapy, the goal is to 'cure' or 'educate'. As with tokenism methods such as informing, consulting and placation, the goal is not really to change power relations. The power stays with those undertaking the intervention in the first place. The difference between non-participation and tokenism is that, at the very least, beneficiaries have a voice and are heard in tokenism (i.e. they advise in 'placation' and are informed and inform themselves in 'consultation').

The true changes in power relations occur under citizen power where those who have not (the beneficiaries) are empowered in order to increase their degree of decision-making over the intervention. This is a good moment to recall CLASP principles, in particular 'Power'. Only in 'citizen's control' does the power balance shift from 'Power over' to 'Power with' and 'Power to'.

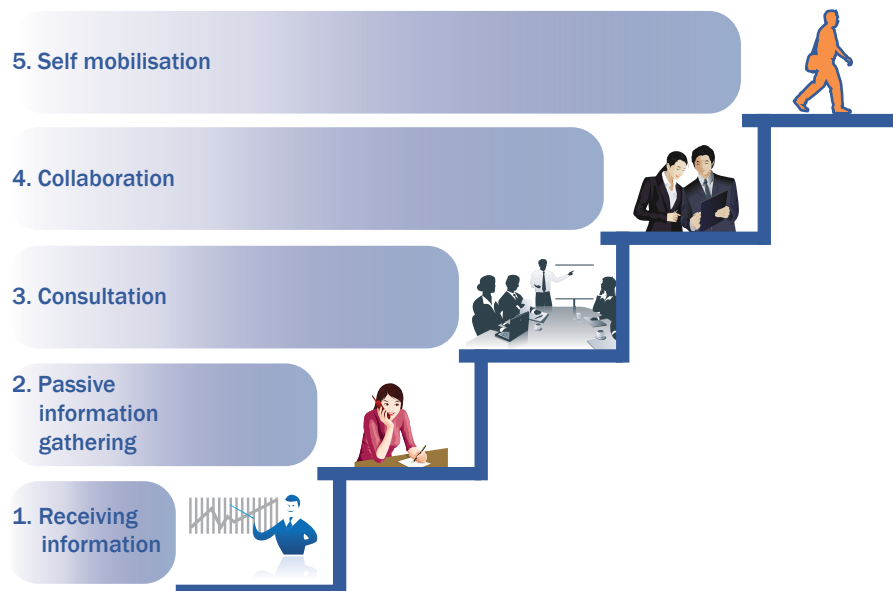
<sup>5</sup> Arnstein, Sherry R. "A Ladder of Citizen Participation," JAIP, Vol. 35, No. 4, July 1969, pp. 216-224.

## MDF's Participation ladder

We use a similar model as Arnstein's participation ladder to show different degrees of participation in projects, such as policy influencing interventions, at different stages.

The categories are based on Arnsteins' ladder, but not put as negatively. Also the focus is not so much on individual citizens (as the model is not placed in the context of citizen participation), but more on groups of people or organisations.

We use this model to show different levels of participation in various stages of projects, such as policy influencing projects. Collaboration and Self-mobilisation are the most participative methods as they shift the balance of power from the project developer to the beneficiaries. Other categories are not per se negative. Different stakeholders could be placed on the ladder according to their importance and their influence on the project. You can do this exercise when undertaking a stakeholder analysis (in chapter 7 you will find such analyses and the link to the Participation Ladder). At this stage the ladder helps you think about different levels of involvement of beneficiaries. It also makes you understand that beneficiaries should, at the very least, be consulted in this phase of the planning.



Participation ladder

## WHAT DO YOU DO: CONSULTATION – COLLABORATION – SELF-MOBILISATION?

### Consultation

At this stage of planning you should, as noted above, at least have consultation with beneficiaries. Such consultation must be a two-way method whereby information is shared between beneficiaries and project staff. Popular consultation methods are: surveys which should be combined with debriefings to make it two-way, focus groups, village meetings, and public hearings. One-way information sharing, whereby an NGO gets lots of information from beneficiaries or NGOs inform beneficiaries and do not at all take into account information coming from the beneficiaries, does not qualify as consultation. Sadly this is often what happens.

Consultation is widely used, north and south, as a means of legitimating already-taken decisions, providing a thin veneer of participation to lend the process moral authority. Its outcomes are open to being selectively read and used by those with the power to decide.

Consultation can be a step towards 'full' participation if it is followed through. Full participation means that consultation is done on a regular basis throughout the policy influencing intervention in planning, implementation, monitoring and evaluation, but also that you gradually make beneficiaries responsible for at least parts of the intervention itself, thus moving from for, to with and finally by beneficiaries – from consultation up to collaboration and self mobilisation. Throughout the manual we will make sure that you continue checking whether you still apply the CLASP principles. The way you involve beneficiaries in the intervention is an important element of CLASP.

Consultation with beneficiaries must be ongoing: information must be shared, and consultations kept two-sided if you are to retain your legitimacy.

### Collaboration and self-mobilisation

Beyond consultation you can use your intervention to empower beneficiaries. In fact, this would be advisable. This means that you do not just give and receive information, but you design the intervention in such a way that beneficiaries are capable of making themselves heard, claim their rights and decide about parts of the intervention. The beneficiaries take control of the changes that affect their lives directly. This is what is meant by 'collaboration,' where power is shared with beneficiaries, and 'self-mobilisation' where beneficiaries take control of the intervention. If you decide to do this the character of your policy influencing intervention will change. Some focus will be on capacity development of beneficiaries to be

able to take responsibility for part of the intervention.

For NGOs the ultimate goal should be that the very reason for their existence is not present anymore. Obviously this is not going to happen soon, but on a smaller scale you may see that one of your objectives is that you are not needed anymore in a certain field. This is best achieved in the long term by making sure that those without the capacity to claim their rights do have the capacity to do it, and be successful at it.

Making beneficiaries co-deciders not only should shift the nature of your intervention from undertaking policy influencing intervention yourself to supporting others to do that, and in the end reduces your role, it also shifts ownership over the intervention from you to the beneficiaries. To have some ownership, at least, of the intervention for beneficiaries, also increases the sustainability of the results of the intervention.

Working alongside and with those who will benefit from your project will help them to take over and run the project themselves in the long run.

The Environmental Association “Avalon”, from Vršac in Serbia is partly active on social justice for women. Avalon has a project entitled: “Empowered women for social justice”. The main goal of the project is that women from urban and rural parts of Serbia are informed, understand and are able to claim their social rights as guaranteed by the laws on social protection in Serbia, especially the new law on Social Protection. They also, more generally, empower citizens to take up a role in decision-making around environmental issues (such as environmentally risky investments). Empowerment is based on the democratic right of participation in decision-making.

The Community Volunteers Foundation from Istanbul, Turkey, works on a project called: “Magnifier to the Address”. Its overall objective is an example of policy influencing through self-mobilisation of beneficiaries. They aim to increase the participation of young people in determination of youth-related policy making, by building the local monitoring capacity of youth organisations regarding services delivered by public bodies at a local level (in Ankara, Istanbul, Izmir, Kocaeli, Konya, Malatya, Samsun and eight other towns).

## HOW TO MAKE BENEFICIARIES PARTICIPATE?

Previously we indicated three ways in which you can make beneficiaries participate, in this early stage of planning, in your intervention. You can do this by consulting the beneficiaries and you can do this by collaborating with them and making self-mobilisation possible. Your role will differ a lot depending on the choice you make. With consultation you still remain the principle actor that does policy influencing itself. With collaboration you share this responsibility with beneficiaries leaving you to also make sure the beneficiaries have the capacities to take the responsibility. With self-mobilisation your intervention will be geared towards enhancing the capacities of the beneficiaries to undertake policy influencing.

There are three ways beneficiaries can participate in your project, and these are called collaboration, consultation and self-mobilisation. In the second you remain the main player while in the other two the beneficiary takes a greater role.

There is not one blueprint for making beneficiaries participate through consultation, collaboration or self-mobilisation. We therefore provide you with some guidelines:

- make sure you identify the beneficiaries and be sure you identify the main beneficiaries making distinctions, such as those based on sex, age, religion, socio-economic background, sexual orientation. You may not be able to do this in detail from the beginning, but you should not just only consult those who are most powerful or have the loudest voice within the beneficiary group;
- consult both men and women. Guidelines for the latter are included later in this manual;
- when consulting beneficiaries make sure you are clear and realistic about the reasons for consultations and the potential success of the intervention. You do not need to consult about everything, but expectation management is important. It is an important aspect of keeping beneficiaries 'on board'.

In the final part of the Manual there are various checklists that make sure you consider gender aspects when organising different consultation events. This will help you understand how to consult men and women differently and make sure the voice of the weakest members of communities are heard.





### An Example of Collaboration

An approach to measuring empowerment applied in Bangladesh has two parts. In a first part, beneficiaries do self-assessments based on indicators they developed. The generated data are placed in analytical frameworks.

It is interesting that the indicators are based on an assessment of the current situation that is done by the beneficiaries themselves. The baseline is the result of individual experiences of beneficiaries gathered through drama, songs, story telling, picture drawing, conversations, debate etc. The resultant statements are clustered and re-worded together, making the statements meaningful to all beneficiaries. This is where indicators (in this case for empowerment) are formulated. Beneficiaries monitor these indicators yearly themselves.

Source: SIDA<sup>6</sup>

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<sup>6</sup> Dee Jupp and Sohel Ibn Ali, *Measuring Empowerment? Ask Them*, SIDA, December 2009.

## THE IMPORTANCE OF BENEFICIARY INVOLVEMENT AT THIS STAGE

Consult and communicate with your beneficiaries: this is crucial to the success of your project. Decide how much you want to involve them in the process too. At this stage it will be extremely important to think about how you want to involve the beneficiaries. Do you want to keep consulting them, and if so, how? How many times? Or do you want to collaborate with them or start making sure they can self-mobilise? In any case your decision will affect your role in the intervention.

## LINK WITH THEORY OF CHANGE

Beneficiaries are in your Theory of Change. At least they are in your vision. You try and indirectly change something for them.

In the example used in the Theory of Change exercise in chapter 5, the beneficiaries are girls in primary and secondary education or, if you go up even higher, young women. With your policy influencing intervention you try and influence others, such as decision makers in order to change. This change should then benefit your beneficiaries.

In our example in chapter 5, we focus on Government, which may be refined to a person like the Minister of Education.

You must at least check with your beneficiaries if they agree with the Theory of Change. Ideally you rebuild the Theory of Change with them. This will make sure that the change you envisaged should happen, and actually matches the needs of the beneficiaries. If not, then your intervention can not have a positive effect on the level of the beneficiaries. You can decide with your beneficiaries to see what different things they can be responsible for.

## TIPS for practical application and facilitation

Beneficiary participation is key to the success of an intervention and it is sadly often forgotten, especially by organisations who have worked on an issue for a long time. Ask them what they want, how they feel, and whether what is being done is being done properly. This will improve your legitimacy. Ultimately they will take ownership of the project.

## QUESTIONS for further reflection

- Making beneficiaries effectively participate in planning and implementation requires much time and resources. This is often not available in policy influencing. How do you make sure they participate, but that the momentum is not lost?
- Making beneficiaries participate may require a completely different set of activities and outputs from you, much more linked to enhancing the capacities of beneficiaries. Is this still policy influencing?
- True participation is difficult as it requires the participation of beneficiaries, who themselves are not homogeneous and have different agendas. How do make sure these are all represented?



## **Strategising with the Early Message: Stakeholders**

## WHO ARE STAKEHOLDERS?

*“There is nothing more difficult to plan,  
more doubtful of success, nor more dangerous to  
manage than the creation of a new order of things.”*

U.S. Supreme Court

A stakeholder, literally, is a person, group, institution or organisation who has a particular stake or interest in a certain issue. Most notably, for policy influencing, they may be:

- those directly affected by the problem (e.g. local communities, farmers, traders, women, etc.);
- those responsible for creating it, or with formal responsibility for finding a solution e.g. government, local authority, civil service, health workers);
- those concerned for the welfare of others (e.g. trade unions, NGOs, church groups, media);
- international players (e.g. UN, World Bank, donors).<sup>7</sup>



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<sup>7</sup> Bridget Burrows, “How to plan good advocacy strategies: stakeholders, influence routes and risk analysis”, CAFOD PowerPoint presentation, May 2010.

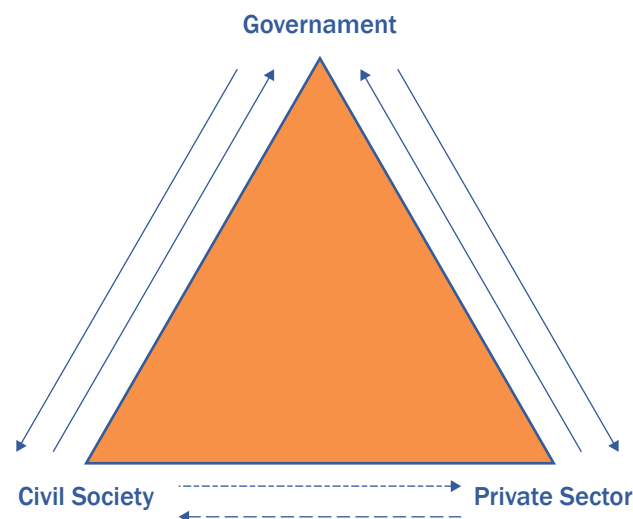
## THE MAIN ACTORS: GOVERNMENT, CIVIL SOCIETY AND COMPANIES

Policy making is often associated with governments and parliaments preparing general policies and being responsible for implementation, monitoring and control.

Against the background of globalization, decentralization, privatization, retreating governmental influence and deregulation, the position of policy making is changing. Apart from the public sector, private sector companies and civil society organisation take their role in the democratic process. As noted above, policy influencing is becoming more important and mainstream.

Gramsci developed a power-triangle dividing society into three power-categories: government, private sector and civil society, also known as 'countervailing power'. In some countries this triangle is institutionalized in a so-called tri-partite setting in which all actors are exchanging positions and influencing each other continuously.

Very often the influencing takes place outside negotiating rooms in backrooms, lobbies, on the streets, in the media and in universities. The variety is manifold; the diversity is huge.



Gramsci triangle (tri-partite polder)

You can see that the linkages between civil society and the private sector are not as strong as the other linkages to Government. In terms of human rights and development cooperation companies are playing an increasingly important role as an actor working on ameliorating conditions for employees in companies in the South working for them, directly through their companies, or indirectly through the chain under their influence. Companies also work increasingly with communities that are, or may be affected by their operations. This increase of attention is due to the realisation that companies like Shell and Nike have serious effects on development and human rights in many parts of the world.

NGOs played a big role in highlighting these negative effects. However, many NGOs are moving from the name-and-shame to a more cooperative stance realising the full power of companies to do positive things as well. Vice-versa, companies are increasingly asking NGOs to assist them in trying to understand what they can do and how they can do it.

Initiatives of dialogue and cooperation between NGOs and companies are increasing and there are many good examples. However, it is still not as common as influencing Government.



*Advocacy training, Former Yugoslav Republic of Macedonia, February 2011*

# STAKEHOLDER ANALYSIS

## Introduction

Doing a stakeholder analysis is common when planning projects. It means listing the stakeholders, of all kinds, who are involved in or identified with your project. This is the beginning of strategising.

On several occasions you will undertake the listing of stakeholders and identification of *primary stakeholders* individually or in your team.

### What is a stakeholder analysis?

In this chapter the focus of the stakeholder analysis will be on strategising in your intervention. By doing a stakeholder analysis around a policy issue, you can identify who are:

- your allies;
- your political targets; and
- your opponents.

Another way to approach the stakeholder analysis is to identify who will play a certain role in the planning and implementation of your intervention. The tools presented on the next pages (and those presented in chapter 6) will be able to guide in this. Especially when you take the optional step of the participation ladder presented on the next pages.

## The link with participation

There are two links with participation of beneficiaries.

- in undertaking a stakeholder analysis you get an even better view of the beneficiaries of your intervention and their position in regard to the policy issue;
- you have a better idea of who the beneficiaries are. If you have not involved all relevant beneficiaries yet, you should now.

*Primary stakeholders* are those ultimately affected, either positively (beneficiaries) or negatively by the intervention. Primary stakeholders may have to be defined specifically and therefore should often be divided by gender, social or income classes, occupational or service user groups. In many interventions, categories of primary stakeholders may overlap (e.g. women and low-income groups; or minor forest users and ethnic minorities).



## STEPS FOR UNDERTAKING A STAKEHOLDER ANALYSIS FOR POLICY INFLUENCING

In a policy influencing stakeholder analysis, you go through the steps presented on the next pages. A preliminary step is that you define your issue and position with regard to the issue (see chapter 5) as the starting point for checking the interest and the attitude of other stakeholders.

### STEP 1

#### List all the relevant stakeholders

The aim here is to be creative and get a long list of *names, positions and organisations of people*. Personify your political targets as much as possible. Many NGOs do this step when undertaking projects. Unfortunately this is also often where the 'analysis' stops. At best some classification is given to the stakeholder in terms of primary or secondary stakeholder and how important they are to the NGO.

### STEP 2

#### You apply three filter questions to the list of stakeholders

- To what extent does the stakeholder agree or disagree with your position? (attitude)
- How importantly, relative to the others, does the stakeholder view the issue? (importance)
- How influential, relative to the others, is the stakeholder over the decision? (influence)

To make an informed judgement to answer these questions, you may have to do further research. Maybe you may have to sub-divide categories of stakeholder into groups that can be said to share a common position or interest.

The information is transferred to the *Allies and Opponents Matrix*.

**STEP 3**

## Allies and opponents matrix

Attitude of the audience to your position	Very Pro			Main Allies
	Pro			
	Neutral			Key Influence Ground
	Anti			
	Very Anti			Main Opponents
		Low	Medium	High
		Influence of the audience on the issue		

### Allies and Opponents Matrix

From the *Allies and Opponents Matrix*, you can identify who are your most significant allies and opponents, and who the most influential neutrals are. Those neutrals could be very important as you might be able to shift them over to your side, a key battleground as your opponents will also be trying to do this. Stakeholder groups are not fixed in their positions and the matrix may provide you with insights into how to create extra power for your strategy by:

- building alliances with allies with positive attitude and low influence;
- persuading stakeholders the issue is important for allies with high influence but neutral attitude;
- persuade stakeholders of your position on the issue for influential neutrals and soft opponents;
- increase the influence of allies with low influence, mostly beneficiaries (see chapter 6 and on the next pages under step 6);
- try and reduce the influence of opponents with high influence.

**ATTENTION!**

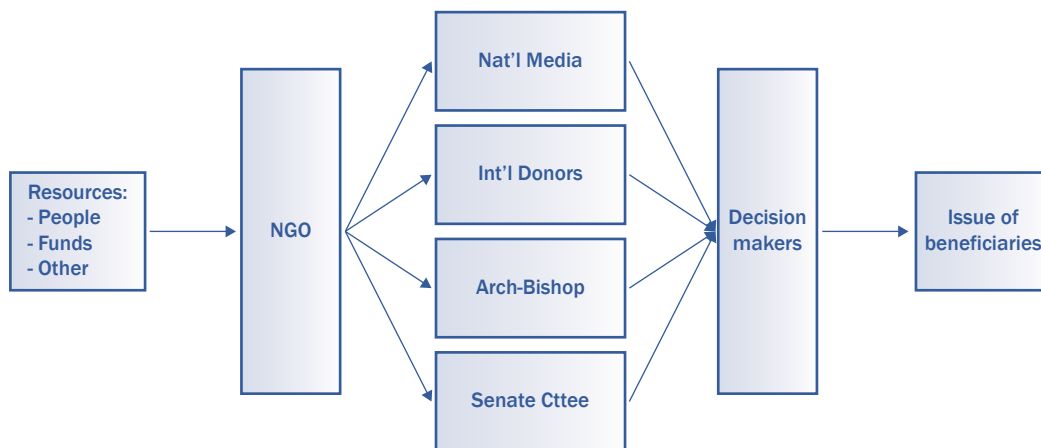
*Your intervention can change many things in the context. A shift in position of one stakeholder can affect the position of others, positively and negatively. Also, you should always consider that your opponents are making the same analysis. Doing the analysis with others ensures that you get the most insights about stakeholders and their positions. It is also more likely that you are able to monitor changes and how these affect the rest of your intervention.*

**STEP 4****Chains of influence**

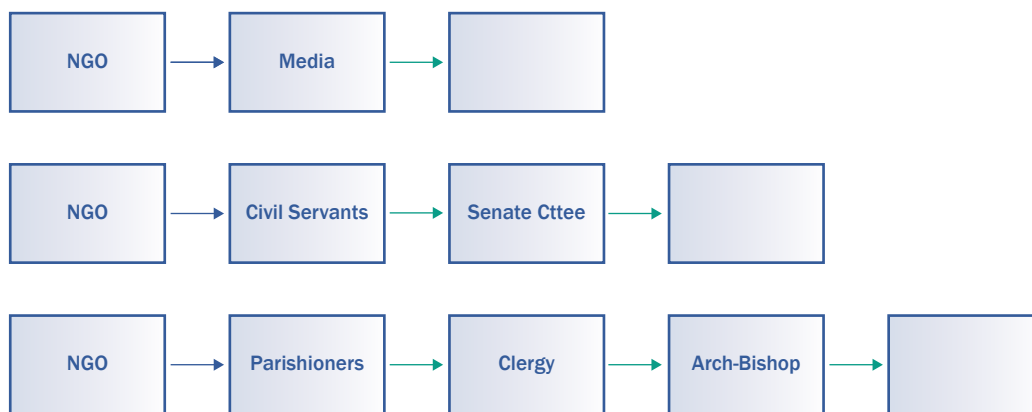
In many cases you will see that the most influential actors you should be trying to change are also against your position. If this were not the case than there would not be a good reason why the issue you are working on is a problem for you and the beneficiaries. You will also find that those actors are not directly approachable. For example, in many cases this may be a minister, prime minister or president, or even more elusive powers around important decision-makers.

Those actors are often named as the primary targets of policy influencing interventions. However, it is very unlikely you are able to influence those actors directly, either due to their position (Prime Minister, President, Minister) or due to the strength of their opposition to your position. Creating chains of influence means that you figure out which stakeholders can influence those opponents. You create a chain. The chain is composed of stakeholders who you will influence and who subsequently will influence others. This is an important part of your strategy.

You can combine forces with your allies and create one chain of influence. Or each ally in your intervention can have their own chain of influence. In that case you need to make sure the chains work for each other. You will take up the chain that most fits your organisation in terms of content, prior relations and experience. Thus you may only lobby certain persons, while others in the network will mobilise the media or focus on other potential target groups using different activities from the policy influencing continuum.



Chains of Influence



Chains of Influence (2)



## Audience Targeting Table (optional)

Further analysis and research on the position of your political targets is strongly advised. The Audience Targeting table can be used for this purpose. It is a set of deeper and systematic analyses of your political targets with respect to getting to know him/her better on:

- what is their knowledge on the subject (it might be more than you know);
- what are the beliefs regarding the subject (you might agree or disagree in your beliefs)
- what do the targets care about most (you might use this information to build rapport).

Audience targeting table:

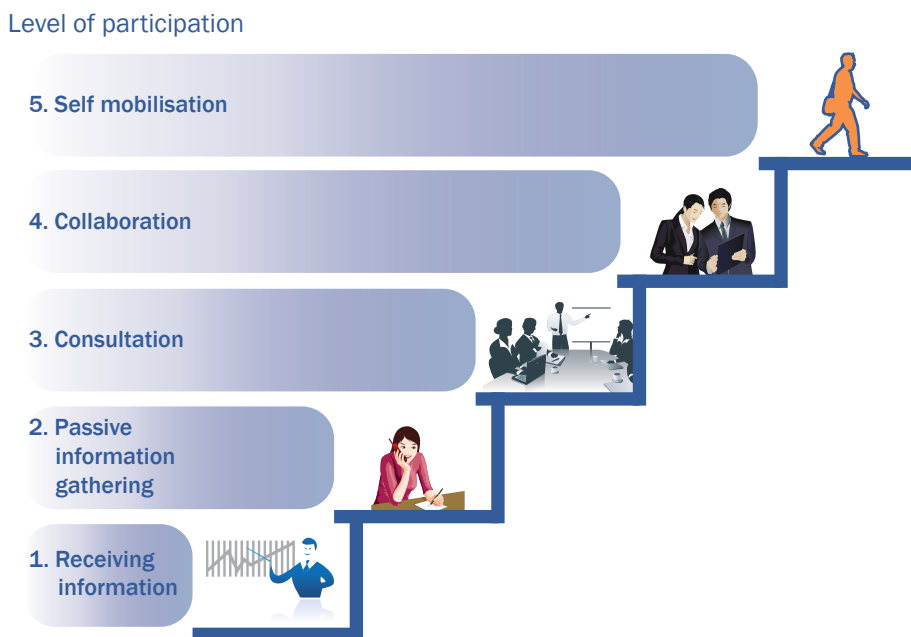
<b>The issue/agenda's/decisions</b>	
<b>Your position</b>	

Audience	Knowledge	Attitudes/Beliefs	Interests
Audience definition	What does the audience know about the issue?	What does the audience believe about the issue?	What does the audience care most about (even if unrelated to the issue)

**STEP 6**

## Participation ladder

As noted in chapter 6 on Beneficiary participation, the participation ladder can be used in two complementary ways. Its first usage is presented above, namely that it allows you to think about beneficiary involvement in planning and implementation of your policy influencing intervention. The second usage is as a result of a stakeholder analysis, to think about the level of involvement of other stakeholders in planning and implementation of your intervention. This is obviously part of your policy influencing strategy, but it overlaps with the second purpose of the tools presented above, namely thinking about who will play which role in the planning and implementation of your intervention. For this you take the participation ladder from MDF presented below and you think about how you involve the stakeholders, or some of them at least.



**Participation ladder**

In chapter 7 we focused mainly on the levels of consultation, collaboration and self-mobilisation. In the usage of the participation ladder in this chapter we will also focus on the other steps of the ladder. Thus, a small recapitulation of the terms is useful:

Level of participation	Explanation	Possible actor
Level 1: Receiving information	The most passive of participation levels. There is almost no involvement, except through the information that you decide to share about the intervention.	Some opponents Some secondary audience (The general public)
Level 2: Passive information gathering	a little more involvement of stakeholders is needed. You will not provide more general information at the level you decide, but you also make sure you get some information from them, be it in a limited fashion (for example through a non-targeted online survey). It is more one-way traffic you look for in this level.	Some opponents Some secondary audience (the general public) Some powerful neutrals (in key battleground)
Level 3: Consultation	Implies two-way traffic. So you can still do, more or less, one way information gathering, but you have to combine it with information from your side to the stakeholders. You can do this by debriefing on paper or in person and keeping the stakeholder updated on the general usage of the information. Consultation can be an ongoing process or a one-off. When done with beneficiaries consultation must be done on a regular basis. It is also important to note that consultation still runs the risk of window-dressing when it is done once and information is not actually used to shape the intervention.	Beneficiaries (minimum) Some allies Some powerful neutrals (in key battleground)
Level 4: Collaboration	Implies shared responsibilities. A stakeholder is then responsible for part of the intervention or co-responsible for the whole intervention. The stakeholder is allowed to take decisions.	Beneficiaries Allies
Level 5: Self-mobilisation and/or empowerment	The intervention becomes the sole responsibility of the stakeholder. They manage the intervention, are responsible for the intervention and take decisions themselves. If this becomes the case your role will probably be advisory and focused on enhancing the capacities of the stakeholder where needed.	Beneficiaries (Other allies with little influence)

In the Toolbox you will find an exercise you can do in order to explain the stakeholder analysis, including the participation ladder.

**ATTENTION!**

*In strategising you must be realistic on how many stakeholder groups you can target as audiences, given the resources and time available.*

## LINK WITH THEORY OF CHANGE

You will use the results of the analyses above in your Theory of Change in various ways:

- to further refine and complement your Theory of Change, perhaps adding actors who should change and refining the type of change you envisage;
- to start completing the last step of the Theory of Change, focusing on strategy. This is where your action plan will become more precise, with specific activities and specific actors who need to be influenced in certain ways, with chains of influence being crucial in this;
- to elaborate on what parts of the Theory of Change can and should be undertaken by others and what sort of strategies you should undertake in order to make sure that can happen.





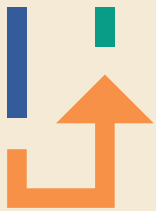
## TIPS for practical application and facilitation

The use of tools is a way to systematise findings. When undertaking the analysis, do so on big sheets of paper, drawing the frameworks. Each stakeholder's name should be written on an individual card so it can be stuck to the framework and moved around. This way the tools also serve as a participation tool. They actually visualise the analysis.

For it to be really meaningful it is important to have actual people. Often you see people writing: Government or Donors or Allies. However, each of these is composed of different actors, with different stakes and different importance. Also each of the vague stakeholders can be interpreted differently by different stakeholders, thus leading to misunderstandings, and eventually confusing strategies. Finally, take the time to do such analyses with others. It provides new insights and makes you look beyond what you already know. It also makes more explicit what you already know.

## QUESTIONS for further reflection

- With how many stakeholders can you work? How many can you target? How many can you collaborate with? What are your criteria to limit the number?
- How do you get to know your stakeholders? When do you know you know the stakeholder sufficiently well?
- How can you control your chain influence? How to make sure influence happens in the way you thought it should?



## **Mapping the Policy Process**

## THE IMPORTANCE OF MAPPING THE PROCESS

*“Politics are a labyrinth without a clue.”*

John Adams

When we say ‘mapping the policy process’ what we mean is identifying whether your issue is dealt with in the policy-making process, and where and when the decision will be taken. It also provides you with some indication about how to get the issue on the agenda if it is not yet dealt with. This is extremely important for your policy influencing as it will affect what you do, with whom and who you target.

The problem is that policy-making processes are different in each context. Even within a country, depending on the Ministry, a policy-making process may differ greatly. So this chapter will not provide a blueprint on how to map the policy process and what to do in each step of this process. Instead this chapter will provide guidelines on how to determine the place of your issue in the policy-making process. In doing so, we will also provide some pointers about possible courses of action. The essence of this chapter talks about policy-making in the national arena.



## TRANSPARENCY, OPENNESS AND ACCESS TO INFORMATION

The guidelines and pointers presented here can assist you when doing policy influencing in a context of relative openness, transparency and accountability. This is best translated into how much access to information there is for the general public and civil society organisations. Formal democracies are often defined using terms, such as access to information, openness, transparency and accountability. Undeniably, the space for policy influencing for different actors, including civil society organisations, is biggest in such democracies. The impact of such policy influencing still differs from country-to-country. However, even where such space is present, the policy making process in so-called democracies is often far from transparent. Many decisions are taken in backroom discussions, meetings in cafés or based on relationships, such as the same student association, family ties, friends of the family and suchlike. Such decisions are not transparent, there is no accountability and there is no rational basis for taking decisions. It is important to be aware of this. Many organisations acknowledge these workings and play the same game. This Manual does not take a stance on such policy influencing. It is sufficient to note such processes. For you it is extremely important to be aware of this also in your context, and then you can decide to work with it or outside of it. If you are not aware of this process you may be surprised by events and your policy influencing will suffer as a result.



## ESSENTIAL QUESTIONS TO ASK YOURSELF

Above we describe what is meant by ‘mapping the policy process.’ It includes a number of essential questions to ask yourself when you want to know about the decision-making process regarding your issue, or issues that are important to your policy influencing.

- Where: in which structure is the topic being dealt with?
- Time: what dates are important? When are decisions taken?
- Process: At what stage of the process are we?

Besides asking yourself these questions, do not forget the workings of the non-transparent decision-making process described above.

### Where?

With ‘where’, we mean: in which structure is the issue being dealt with? Such structures can be departments of ministries, the council of ministers, parliament, or the senate. In fact much depends on the context. It may also be in the more public domain by way of a referendum for example.

It is extremely important for your policy influencing that you find out exactly who in the structure is taking decisions. This links up with the stakeholder analysis in chapter 7. The more precise you are about who is taking the decision, who is doing the real work and who else has influence on this, the better you can communicate your message or position.

### Time

Timing in policy influencing is essential. You must know who is taking decisions (see above), in what structure (see above), but equally important is to know when a decision is taken. This informs you about the possibilities of influence and the range of actions that are strategically still at your disposal. Being too late, for example, in providing information will be detrimental to your work: think back to Service-orientedness as a CLASP principle.

### Process

Understanding the policy-making process (or processes leading up to laws and other decisions) in your country is essential. At each stage of the policy-making process you can have influence. In combination with knowing where certain issues are dealt with and questions related to timing, understanding the policy-making process allows you to have a maximum impact on decisions. Knowing this in the planning of your intervention is crucial. It doesn’t only allow you to start setting out a strategy, but it also allows you to analyse whether your issues, or important issues related to your issue, are already being dealt with.

There are many policy-making cycles. They more or less distinguish the same steps and thus indicate the moments you can have influence. The steps we distinguish are:

**STEP 1 ⇒ Brainstorm phase:** the phase where an idea about the issue is starting to form. Sometimes this will be instigated by your actions. Sometimes by other actors. In this phase the person doing the brainstorming will be looking to get as much information as possible from reliable sources (which you will also provide).

**STEP 2 ⇒ Design phase:** Based on the brainstorm, the relevant actor will formulate an opinion and put this on paper.

**STEP 3 ⇒ Pre-decision phase:** this paper (may be draft policy or a law for example) is reviewed by others and you may be part of that group of persons. It is finalised and sent to the responsible minister to be discussed in the Council of Ministers.

**STEP 4 ⇒ Formal decision:** different types of decision fall under this. The decision by the Council of Ministers could be the final decision depending on the issue and the context. However, it is more likely the document will somehow be discussed by the Parliament, who would have to approve, and if present, the Senate, who would have to approve.

**STEP 5 ⇒ Implementation and monitoring of a decision:** once it is approved it is implemented. Someone within the Ministry will take the lead and many other actors are likely to be involved. Many policy influencing interventions stop after the decision is taken, especially when the decision is to their liking. Unfortunately, the effects of the decision depend on its implementation and this can only be assessed with effective monitoring.

In general these phases can be distinguished for most decision making processes in most contexts. What varies greatly are the actors, the importance of the phase and the potential to influence. In the tools section of this Manual you will find an exercise that can be done in order to start understanding the importance of distinguishing different phases and the consequences of this.

## Case study from a Macedonian organisation MOST

On the next pages you find an example of the process and how it worked for the MOST organisation from Macedonia, in their work on getting a new electoral code. It shows clearly how you can play different roles, with different actors and different strategic choices in the decision-making process. It also shows that you may need to take small steps and build upon earlier gains. Finally it touches upon the other subjects when analysing the policy process: where and timing.

**Brainstorming Phase:**

In 2004 a total of four round tables were organized on which domestic and international experts were invited. Furthermore, representatives of all political parties and relevant state institutions related to elections were also present. The aim was to initiate a public debate and detect all problematic issues and weaknesses of the election process.

A working group was established with an aim to issue recommendations for improvement of the election legislation based on the reports from the public debates.

The final report showed that there is a serious weakness and that is the fact that until 2005 there were several laws which were regulating different aspects of the elections. For example there was Law on Local elections, Law on election of the Members of the Parliament, Law on polling stations etc. In majority of the cases these laws were un-synchronized and in collision.

The main recommendation was that the Macedonian political system needs one unified Electoral Code.

**Design Phase:**

During 2005 a working group was composed aiming to draft the Electoral Code. The working group consisted of: representatives from all State institutions involved in the Elections (Ministry of Justice, State Election Commission, State Statistical Agency, State Audit Agency, Supreme Court etc), representatives of all parliamentary parties, NGOs and experts.

The process was difficult, but what is important is the fact that all relevant parliamentary party were involved in the process from the very beginning and from the other side the representatives of the State Institutions had an overview on the ways the system functions.

Once the working group was assembled, 3 public debates were held. The design of the events was in a form of a public hearing, and members of the working group were listening to different opinions about the draft Electoral Code from four target groups: representatives from smaller political parties who are not represented in the Parliament, representatives from civil society organizations dealing with different aspects of the elections, such as minorities and women, the media and journalists and representatives from other relevant state institutions, such as for example members of the Municipal Election Commissions and members from the Basic Courts.

**Pre-decision**

The recommendations from these public debates were analyzed by the working group members and the Draft Code was finalized.

**Decision Phase:**

The Electoral Code was enacted on the 22nd of March 2006 and the Parliamentary Elections held in June 2006 were conducted in accordance with this Code.

**Implementation and Monitoring Phase:**

The enacted Code contributed towards overcoming many of the difficulties faced in the past, however certain issues from the Draft version were not part of the Law. For example, financing of political campaigns remained under-regulated.

In 2007 MOST continued its work in the field of improvement of the Electoral Code. MOST and the OSCE Spillover Monitoring Mission to Skopje in cooperation with the Ministry of Justice implemented the project for improving election legislation, and overcoming the election irregularities in accordance with the recommendations from the Venice Commission and the ODIHR report on Parliamentary elections 2006. The final goal of the project was to prepare a number of amendments to the Election Code and some other laws as well, in order to secure stronger institutional and legal frameworks as well as efficient and effective conduct of the election process.

*Based on the results of implementation and monitoring MOST continued their policy influencing to further improve the Code.*

#### **Brainstorming and Design Phase**

Besides the project's recommendations for which MOST lobbied, the recommendations issued in the OSCE/ODIHR report on the Early Parliamentary Elections held on 5th of July 2008, as well as recommendations issued in MOST's report, were taken in consideration.

#### **Pre-decision and Decision Phase:**

On 21st of October 2008 the Law on Amendments and supplements of the Electoral Code was adopted. A majority of the recommendations were taken into consideration.

#### **Implementation and Monitoring Phase:**

The most important recommendations related to financing of electoral campaigns remained still unregulated.

*This finding was the start of a new policy influencing initiative, described below.*

During 2009 and 2010 MOST was part of the working group organized by the Secretariat for European Integration of the Government of the Republic of Macedonia with the aim of preparing the Draft Law for Amending and Supplementing of the Electoral Code in accordance with the recommendations by the EU, due to the problematic elections in 2008. In this working group MOST was the only participant, equal with all other represented institutions. The last change of the Electoral Code was made on 2nd April 2011 and on the 11th of April 2011.

On several occasions we publicly reacted to certain articles proposed by the Government during this stage of the process. What is also important is that a small step towards the regulating the financing of the election campaigns was achieved this time.

## **LINK TO THEORY OF CHANGE**

Understanding the policy making process and who is involved in that is yet another step in further refining the analysis you have made of your context. In addition you may have gained new insights for your stakeholder analysis. It is another step in strategising and refining your pathway of change. All these elements can be fed into your Theory of Change directly and verified with beneficiaries and stakeholders you consult or collaborate with.



## TIPS for practical application and facilitation

A training exercise is explained in the last part of the manual. Emphasis must be on the fact that each process is different. It is not about getting a blueprint, but a realisation for people that there is such a thing as a process and it is essential to understand it and its components as it defines, for a part, the strategy of policy influencing.

## QUESTIONS for further reflection

- As an NGO should you be enhancing a non-transparent decision-making process by actively participating in it? Does it not affect your accountability?
- How many concessions are you willing to make in order to get the issue dealt with in all relevant areas?
- Do you have enough personal contacts and understanding of informal structures to anticipate what will happen there? And to use them yourself?





## **Part III**

# **Networking and Joint Action Planning**

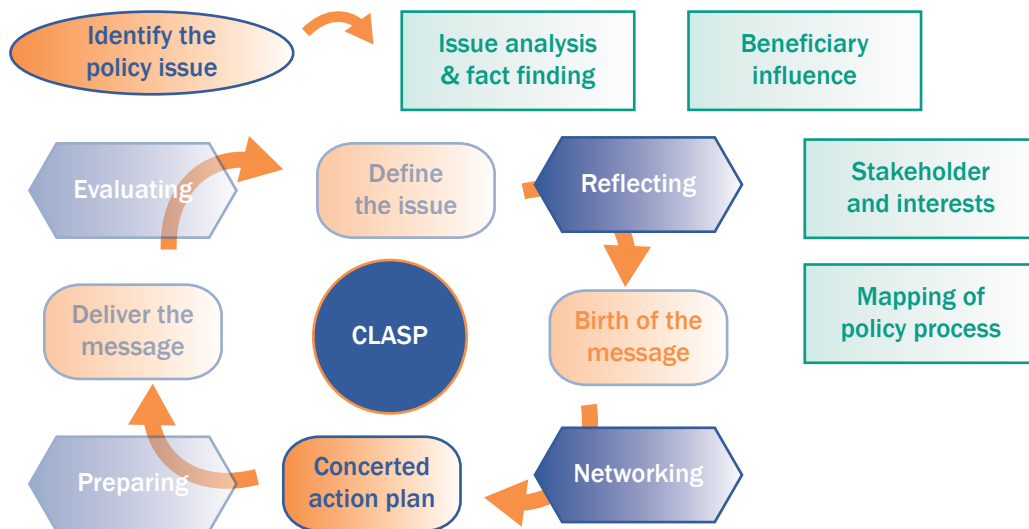
# INTRODUCTION: WHERE ARE WE IN THE POLICY INFLUENCING CYCLE?

“When Spiderwebs unite, they can tie up a lion!”

Ethiopian proverb

In the first part of the PI Cycle we identified and defined the issue with beneficiary involvement, formulated a first position, and checked that position against the interests of other stakeholders and the state of the policy process. Based on that information we could fine-tune the first message, and welcome the *Birth of the Early Message*.

In this part we continue planning with the early message. We start building alliances and networking, in order, with others, to develop an action plan everyone can understand and execute.



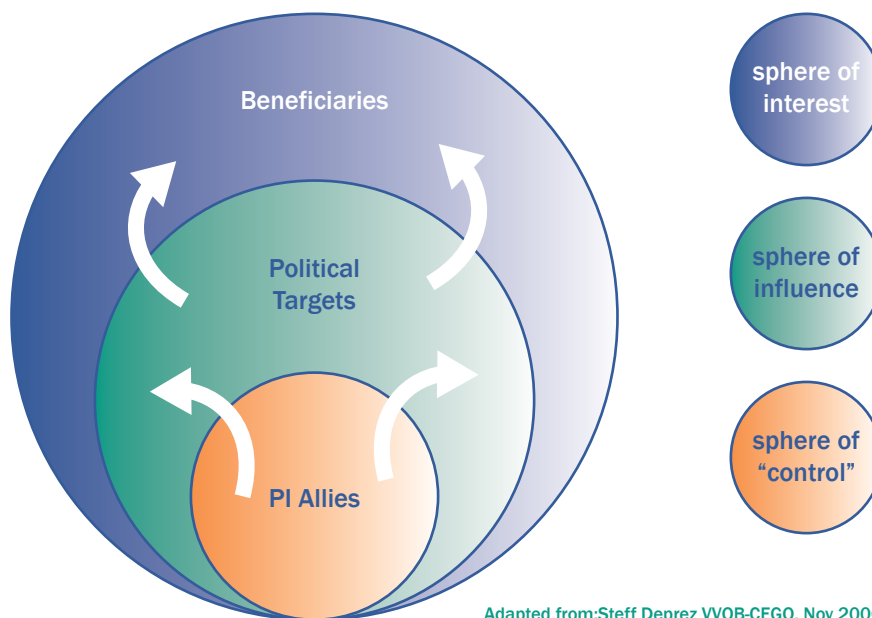
Policy Influencing Cycle

## Stakeholders and interests

The analyses of stakeholders gave us information on our allies and opponents, and the political targets we want to influence in the sphere of influence. It is now clear that you need allies to increase the power-base – together you are stronger, and you can divide the work, the expertise, the time and the funding.

That means you also need to plan, to strategize together and prepare for joint positioning in the last part of the PI Cycle. From the previous part of this Manual we learned that a lot of preparation is needed before we have defined an early message that can be used to start influencing the policies and practices of decision makers either in government, the private sector or influential civil society actors. We also discovered that we have to involve beneficiaries, that we encounter many other stakeholders of whom some agree with us and others are opponents, and that the content of the issue is diverse and often complicated. This makes Policy Influencing an activity that rarely can be dealt with by you alone or by one organisation. You will have to join forces with your allies and your beneficiaries.

Together we are stronger and more legitimate – ‘Power With’ – but also we can divide expertise and tasks amongst each other – ‘Power To.’ This will improve our CLASP principles in Policy Influencing.



Adapted from: Steff Deprez VVOB-CEGO, Nov 2006

### Influencing in Policies

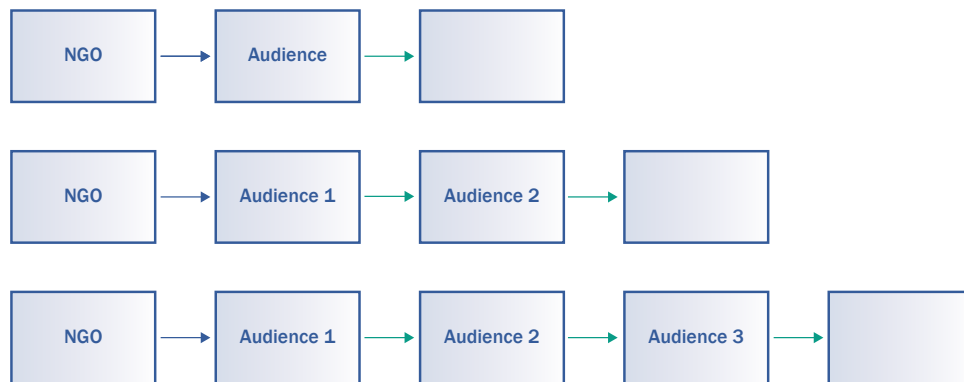


# **Networking for Policy Influencing**

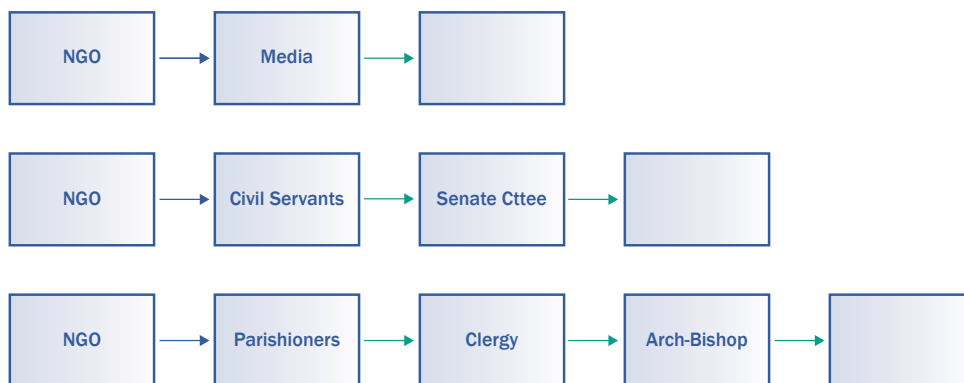
## ALLIANCE BUILDING STRATEGIES

Using the Allies and Opponents matrix from chapter 8, we see a clustering of allies at one end, and a clustering of opponents at the other end of the matrix. In between we see the so-called key battle ground: This is the place where the influencing takes place on the primary targets and decision makers. They will be influenced from different sides and they have to balance the interests of all sides – from allies and of opponents to your political position.

In order to spend your time and expertise well, you can establish chains of influence (see the graphic below). Rarely you have direct access to all stakeholders, either allies, opponents or decision makers. If no direct access to the decision makers can be established, the Allies & Opponents matrix offers you connections of people in organisations that do have direct access. Your efforts can focus on these people in organisations that can bring across your message, or you can ask them to create access for or with you to the decision maker. It is useful to analyse who is closest to the decision makers, and establish a chain of influence through which the policy proposal is channelled.

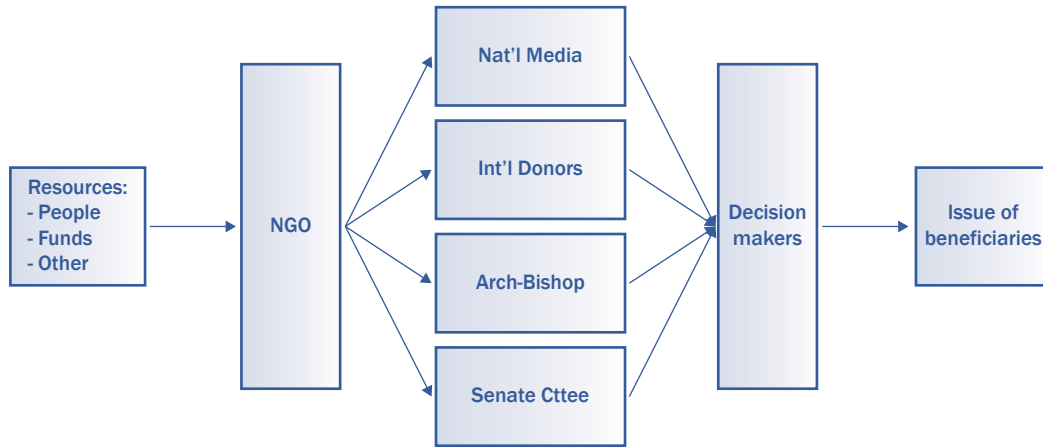


Chains of Influence (1)



Chains of Influence (2)

Additionally, every organisation will use its own *channels of influence* to get the message across for the sake of their beneficiaries or constituency. One organisation can have several *direct or indirect targets* they will influence. Imagine what you see when adding up the efforts of all organisations connected in a channel of influence or an alliance, network, coalition or platform, either in civil society or the private sector. They really create a *web of influence* that increases the visibility of the policy influencing efforts.



Channels of Influence

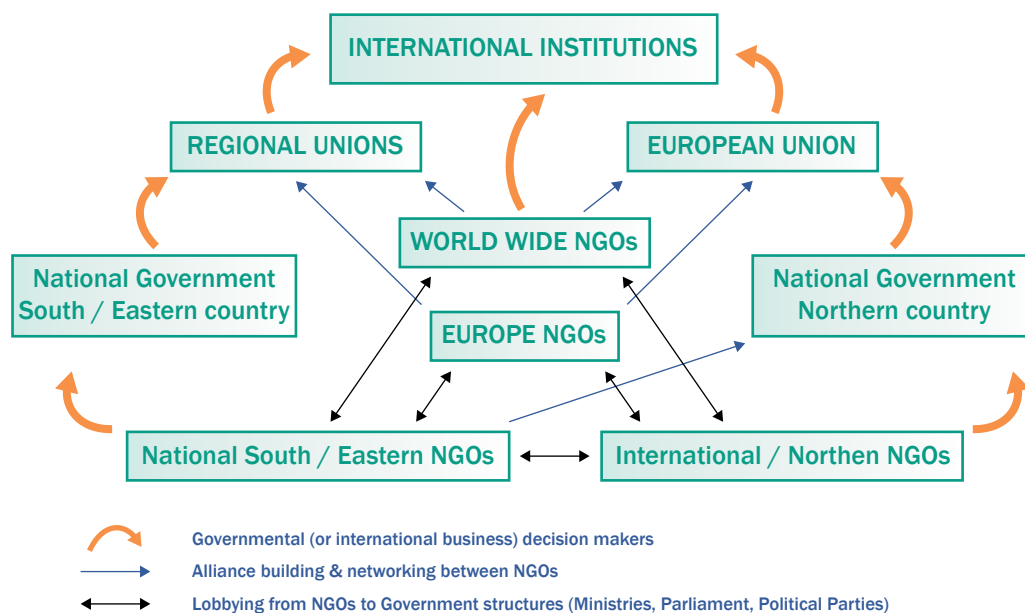


## MULTI LEVEL STRATEGIES FOR INTERNATIONAL POLICY INFLUENCING: THE PINCER

The Pincer is a model of a chain of influence for effective and legitimate policy influencing at the international level. It can be easily translated to the national or even the community level. Building alliances and networking increase the effectiveness of your advocacy efforts because you are expanding your power basis.

CLASP principles are at the heart of this model, starting with the involvement, participation and mobilisation of NGOs and their beneficiaries, of policy influencing by lobbying of political decision makers and communication with the media and the broader audiences as explained in the PI Continuum.

The arrows show in which direction policy influencing is taking place, and who are its political targets. Alliances are established at national or more local levels, because that is where they have the legitimacy to do so. Alliances also connect with each other at continental and even international levels like the European Union, African Union or worldwide levels. These alliances normally are organised around some very specific issues. Well known examples of international alliances are organisations like Amnesty International (human rights), Greenpeace (the environment) or the World Wildlife Fund (wildlife and nature). But there are many more based around all kinds of imaginable issues like trade, agriculture, water and sanitation, health, child rights and women.



**The Pincer : a device on EFFECTIVE international ADVOCACY**

Formally, citizens or organisations in their countries of residence can only exercise democratic influence at the national level. Internationally, representatives of national governments in tiered negotiation procedures decide on policies. For European citizens from an EU member state it is also possible to influence the EU parliament and the officials in EU governing bodies. Therefore, each NGO will have to influence their own national governments themselves, if CLASP principles are applied.

The role of a European donor NGO can contribute significantly to achieve an improved policy influencing of its ally NGOs in other countries. Apart from being a donor, the NGO can offer capacity building on:

- knowledge, research and analysis of the international field and positions of national and EU negotiators;
- institutional development of its allies and networks in developing countries;
- capacity building on negotiating skills and attitudes;
- facilitating direct contact with national and European decision makers;
- financing lobbying visit of SPs to contact relevant international decision makers;
- elaborating and analysing common positions on relevant policy files.

In Communication and Campaigning the European NGO can develop activities on:

- delivering input to a common website;
- attract media attention at a well-timed moment in supporting the lobbying;
- organising (inter)national campaigns;
- financing national campaigns in developing countries.



### Example from a Pincer model at the national level with international components by MOST

MOST has developed a policy influencing strategy from 2004 and 2005. The aim was to initiate a public debate and detect all problematic issues and weaknesses of the election process.

In 2004 a total of four round tables were organized on which domestic and international experts were invited. Representatives of all political parties and relevant state institutions related to elections were present. The final report showed that there is a serious weakness which is that until 2005 there were several laws which were regulating different aspects of the elections. The main recommendation was that the Macedonian political system needs one unified Electoral Code.

During 2005 a national level working group was established with the aim of drafting the Electoral Code. Consisting of representatives from all State institutions involved in the Elections, such as the Ministry of Justice, State Election Commission, State Statistical Agency, State Audit Agency, and the Supreme Court, representatives of all parliamentary parties, and NGOs including MOST. All representatives have their own constituencies at lower and local levels.

The process was difficult, but what was important was the fact that all relevant parliamentary party were involved in the process from the very beginning and from the other side the representatives of the State Institutions had an overview on the way the system functions. Once the working group was assembled, three public debates were held. The design of the events was in a form of a public hearing, where members of the working group were listening to different opinions about the draft Electoral Code from four target groups. These consisted of representatives from smaller political parties who are not represented in the Parliament, representatives from civil society organizations dealing with different aspects of the elections, such as minorities and women, media and journalists and representatives from other relevant state institutions, for example members of the Municipal Election Commissions and members from the Basic Courts.

In this working group MOST was the only participant, equal with all other represented institutions. MOST continued to work in conjunction with the OCSE that was linked to the Ministry of Justice. The last change of the Electoral Code was made on 2nd of April 2011 and on the 11th of April 2011.

On several occasions MOST publicly reacted to certain articles proposed by the Government during this stage of the process.

What is important is that a small step towards the regulating of the financing of the election campaigns was achieved. And it took time and perseverance to work together with allies and other stakeholders to achieve this.

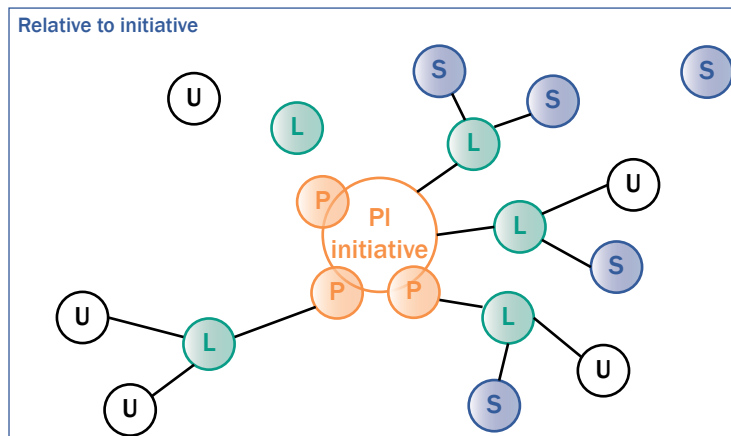
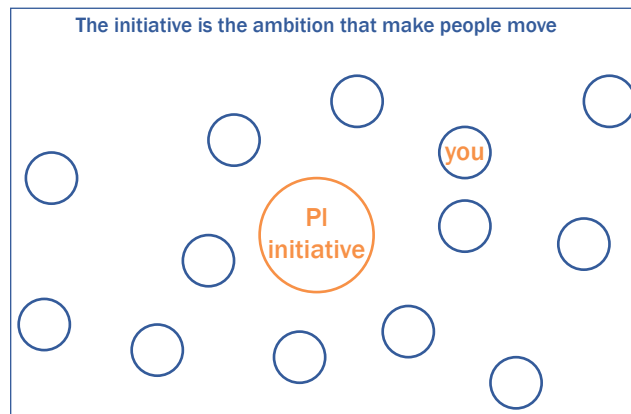
## BUILDING ALLIANCES AND MANAGING DYNAMICS

Building a policy influencing alliance is a good strategy to link up with allies if you want to increase your power base and the effectiveness of your policy influencing effort. Nevertheless, this is not always an easy thing to do. There are two crucial elements needed in order to build a strong, effective and healthy alliance.

- first, somebody has to take the initiative on an issue;
- second, there should be people who want to join the initiative.

Building alliances and managing them means working on both the *content and relationship* at the same time. When that happens, the initiative can start to grow and will create a *shared ambition*. The shared ambition is the engine that can make the initiative move. So you need other people for that. At this point, it is essential that you work only with people who really share your ambition.

Let us imagine that ‘someone’ is YOU.



The tool we use here is *The Network Analysis categorization*. You can use this tool by yourself or do it together with some or all stakeholders involved.

Once you have formulated your early message, you will have to take the *policy influencing initiative* to link up with others. You will start looking around in your network of allies and opponents (chapter 8) which stakeholders are there. Then you will analyse how closely they are engaged to your initiative. This goes further than analysing who is your ally or opponent. You have to check how committed your allies are in joining you in political action: are they willing to spend time, money, energy and share information to bring about change. It is very important that this check of commitment is consciously executed by all parties involved. It will save you disappointments in future. You can apply the Network Analysis Categorization as a physical tool and do it in an exercise (see Part 5 of the manual). Then you will analyse every stakeholder by asking specific questions about their involvement. Depending on the answer, you can categorize the stakeholders according to how strongly involved they want to be in the alliance, and they can become a:

- **partner** – who is a driving force willing to invest time, money, and energy in the realization of the initiative;
- **supplier** – who has something that is useful or needed for the initiative or partners in the initiative;
- **link** – who or which connects the initiative with suppliers and users;
- **user** – who might profit from the initiative.

This analysis is helpful to avoid conflict around too high expectations of each other as an ally. It is not necessary that all allies are always fully engaged as Partners in your alliance. It is fully acceptable that they have other roles as a Supplier, a Link or a User. These roles are also very useful, but do not necessarily require permanent attention, involvement or work. They can provide information at some point, or bring about a contact or meeting, or provide some research, but they are not part of the core group of the alliance. Even in an institutionalized alliance or network, you will discover that some members behave like partners and others are more useful as suppliers or links. The mere fact that every actor can choose which role they can or want to accept, improve the mutual acceptance of each other roles and the levels of involvement.

Research has learned that people become more relaxed if expectations around their involvement are clear: they can feel useful in either role.

*In managing PI-networks:*

- create and maintain network dynamics (Circle of Coherence) in all phases;
- organise the activities;
- manage the funding;
- monitor the planning and outputs of allies.

### Example from MOST – Electoral Code

*The process was difficult, but what is important is the fact that all relevant parliamentary party were involved in the process from the very beginning and from the other side the representatives of the State Institutions had an overview on the ways the system functions. Once the working group was assembled, three public debates were held. The design of the events was in a form of a public hearing, and members of the working group were listening to different opinions about the draft Electoral Code from four target groups members from the Basic Court.*

## LINK WITH THEORY OF CHANGE

In your Theory of Change you identified the issue you are working on and, with others, identified the changes needed. You have checked and rechecked this, also with your allies, and come to an agreement about what you will work on and what other changes are needed and what others should work on. Theory of Change is extremely useful in making sure that everyone understands, in the complexity of the situation, how working on certain changes themselves can affect the work of others.



## TIPS for practical application and facilitation

Applying joint policy influencing means that you have to manage two things at the time:

- the results of your interventions;
- the people you collaborate with and yourself during interventions and in networks.

Applying the *chains* and *channels of influence* show you which like-minded people or organisations can be a link between you and your political target, so that your message in the end will reach the decision maker, even if you yourself are not directly in contact with the person.

*The pincer model* is an application of a worldwide multilevel policy-influencing strategy involving national, international and multilateral levels in which NGOs are organised in alliances, networks and platforms at all of these levels, but can also be used at national or local levels, when more levels of governance are involved. Messages and tasks are well divided, and beneficiary involvement is guaranteed at all levels.

Having these levels organised in a joint and concerted action is not as easy as it sounds. Collaboration is prone to all kinds of network dynamics that need leadership and management, but without the hierarchical power you are used to in organisations. Some of the tools are presented in this manual.

## QUESTIONS for further reflection

- Is it possible to bring about political and behavioural change as one organisation or one person? When does it work, and when not?
- Is it necessary to always create an official network, platform or alliance? Or can you also work together on an occasional basis? When does it work, and when not?
- What is the life cycle of an alliance, network or platform? Does it end when your issue is realized? Should you define new issues? Or can you dissolve the network?
- Does a policy influencing network or alliance need a leader? And what kind of leadership would be helpful? Or do you need other types of coordination or facilitation?



## **Formulating an Action Plan**

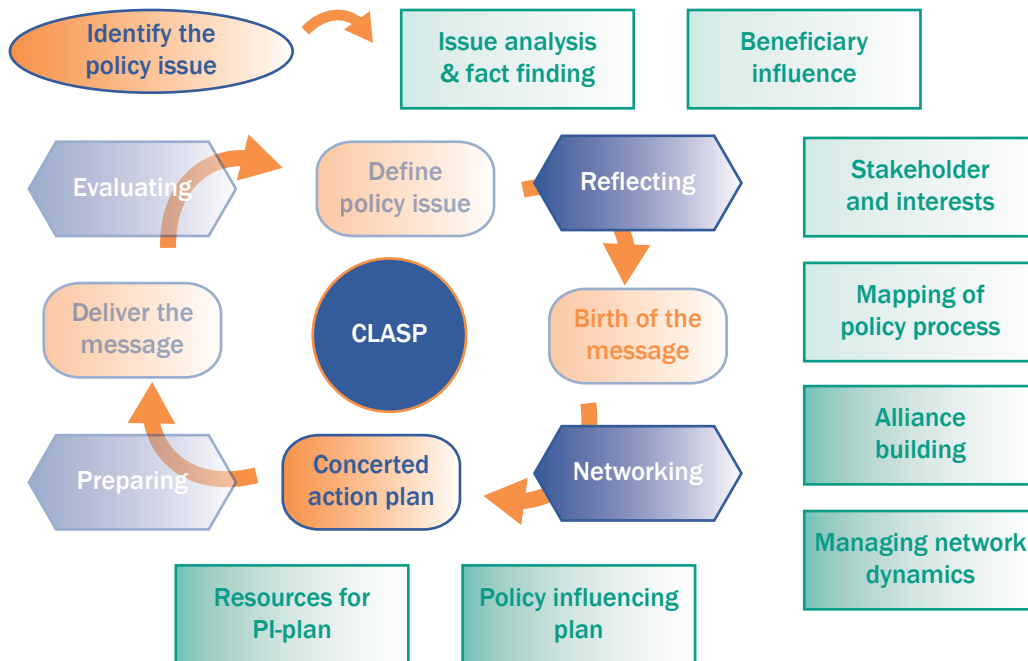


After having defined the policy issue, and having analyzed and selected the stakeholders that you have an interest in or those that bear influence on the decision making, and you know where and when decision making is taking place, it is time to take action.

Are we ready to influence policies?

Not yet - you are accountable to many people and institutions like your directors, your beneficiaries, your board and your funding donors, so you have to make a clearly defined *PI strategy* and *action plan*, and a *PI budget*.

This plan should make clear what change in behaviour you want to achieve at the level of your political targets, what outcomes you expect from the people you influence, and what action and activities you have to undertake in order to make these people move. And finally, you have to see that you can realize this with a limited amount of time, people and money. Therefore, once you have decided which allies will join you in the implementation of your *effective policy influencing strategy*, you need to formulate a *joint* - or so-called *concerted* - Action Plan. The design of a *strategic PI plan* takes into consideration the different steps of the PI Cycle we went through before:



**Some key questions are:**

- what is the issue?
- who is involved in the definition of the issue and the analyses?
- how do beneficiaries participate?
- who are your main targets?
- what is the acceptance of the issue?
- do you know the decision making processes and time lines?
- do you need alliances to build up power?
- is influencing directly enough or is a more differentiated and phased tactic needed?
- what activities do you plan in order to achieve expected results?
- wWhat progress can you see?

Formulating a detailed action plan helps you identify what you and your allies and beneficiaries see as success in your intervention. Commonly such agreed standards of success are called *indicators*. Whatever you call them, the action plan should include some elements that make it possible to monitor where you are and whether you are successful at what you do.



## LINK WITH THEORY OF CHANGE

You will see that the questions asked in the action plan have a clear overlap with the information in your Theory of Change. However, not everyone will elaborate a Theory of Change. Some will use other methods, such as Objective Oriented Planning with the Logical Framework or Outcome Mapping. All these methods use slightly different jargon and have different steps. It goes beyond this Manual to start explaining each of these methodologies and how they can be transformed into action plans. In the Manual we have referred mostly to Theory of Change. We will stick to this and where possible link up with other methodologies.

<i>Steps in PI Cycle</i>	<i>Theory of Change</i>	<i>Outcome Mapping</i>	<i>Logical Framework</i>
<b>Context analysis</b>	<b>Context analysis</b>	<b>Context analysis</b>	<b>Context analysis</b>
1. Identify the issue	Step 1: Clarify: <i>Ultimate Goal</i>	Formulate your <i>vision</i> (what you want to see)	
2. Define the issue and possible solutions		Formulate your mission (what do you do to realize the vision)	
3. Define your main message	Step 2 Formulate <i>Intermediary results or outcomes</i>	Formulate your <i>outcome challenge or outcome area</i>	Formulate your overall objective
4. Facts and research			
5. Legitimacy of partners and beneficiaries (involved)		Select your <i>strategic partners</i> (allies, beneficiaries and constituency)	
6. Power analyses of stakeholders: Allies / Opponents / Target analyses		Select your <i>boundary partners</i> (those who you want to influence)	
7. Policy cycle analyses and Timing	Step 3 Create a 'So-That' <i>chain</i>	Set and define your <i>progress markers</i> (go from easy --> most difficult in smaller steps and monitor these steps on a timeline)	Formulate your specific objectives / outcomes / effects
	Step 4 Make your <i>hypothesis explicit</i>		Define your risks and assumptions
8. Define you PI strategy	Step 5 <i>Strategize</i> the 'so-that' Chain	Make a <i>strategic options map</i>	Define your output / results
9. Make your CLASP-based Action Plan and Budget		Plan activities and dedicate time, people Funds for all actions	Plan your Activities
10. Delivering the Message		Go and do it: Monitor and evaluate continuously	

In PI, or Planning, Monitoring and Evaluation and Learning (PME&L) several theories are used alongside each other. As explained in chapter 7, the Theory of Change (ToC) is crucial for making your vision real. Outcome Mapping (OM) offers the spheres that can be influenced and shows which actors are involved in which spheres. The Logical Framework, or Logframe is useful for activity and budget planning, but is too linear for planning complexities like policy influencing processes.

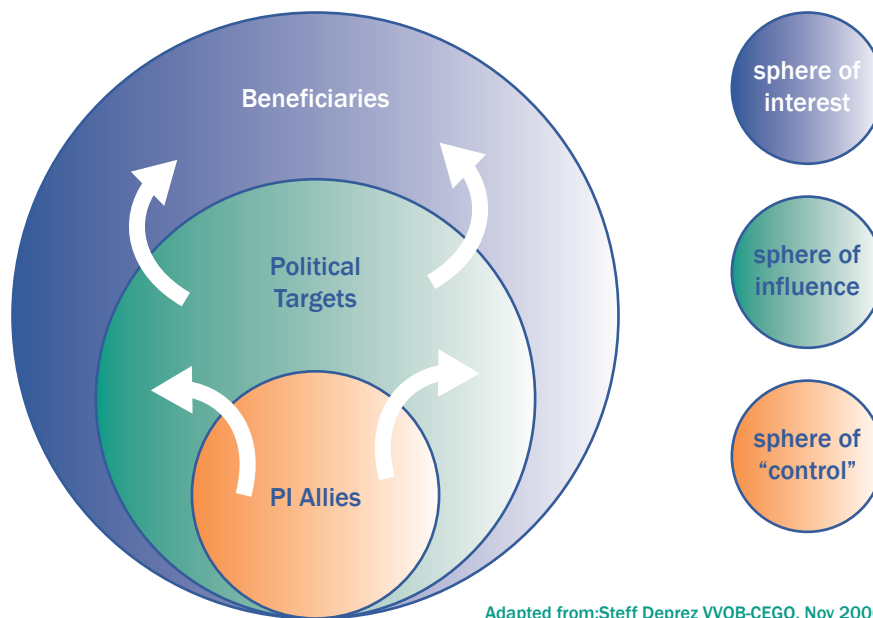
ToC and OM combined provide the best known elements for making a Strategic Plan for Policy Influencing – both methodologies focus on behavioural change as the final and intermediary outcome or result, that translates into a favourable policy decision.

Since these methodologies also involve different actors from the start that will or could contribute to your future desired situation, you can add up the intermediary outcomes and results of different actors, that add up to the final change in behaviour – your wished for policy decision.



## PLANNING STEP-BY-STEP

Policymaking focuses specifically on a change in behaviour and in creating an enabling environment. OM distinguishes from the start who you can influence, directly or more indirectly. Actors with whom you take direct control are your allies, in the Sphere of Control, other actors in the Sphere of Influence, along with your beneficiaries in the Sphere of Impact.



### Influencing in Policies

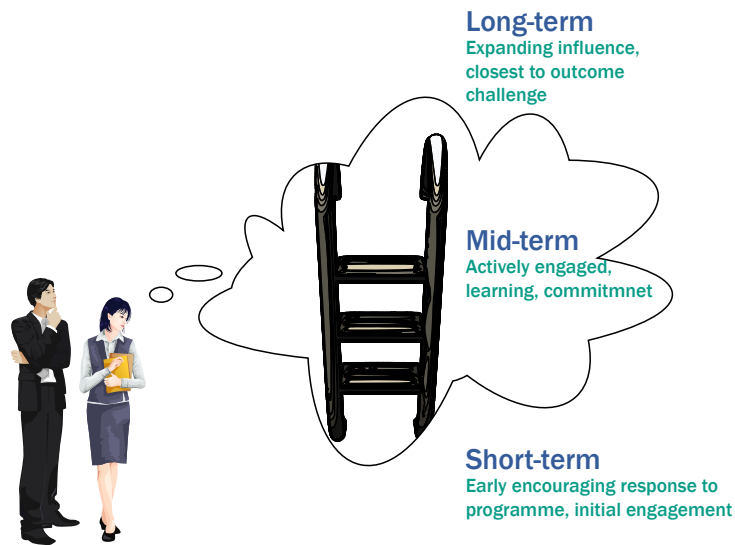
Corresponding with the PI Cycle you can now start to formulate your PI Strategic Plan. Following the checklist below, you can follow the OM logic to develop your strategy.

The pathway for change identifies three main levels at which change can be effected:

- *impact level – sphere of interest;*
- *outcome level – sphere of influence;*
- *output level – sphere of control.*

Your pathway of change is visualized in a “So That – ladder” (see on the next page).

This “So that - ladder” of Change describes the different steps in behavioural change that you expect to happen. These steps can be best predicted at the short term, but are less predictable at the mid-term, and can hardly be predicted at the long term.



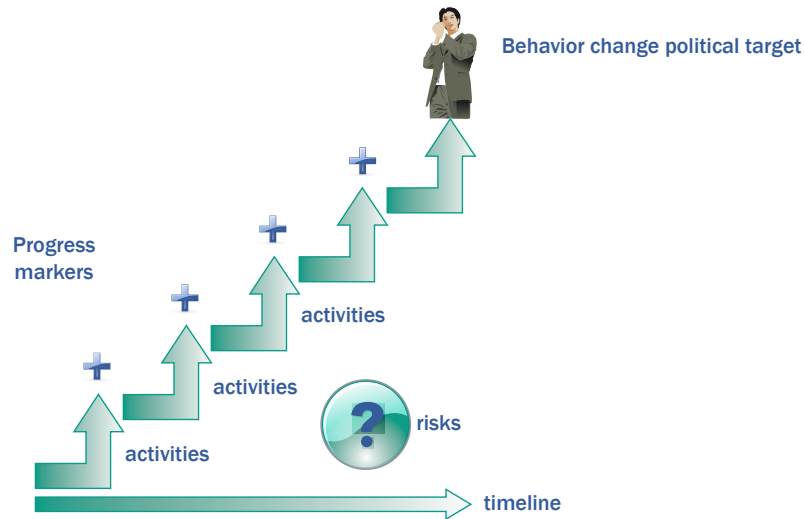
### “So that” ladder of change

In policy influencing this means that you have to create space and flexibility to adapt your “so-that steps,” also called Progress Markers, by assessing and evaluating continuously your progress markers with questions like:

- “Has this activity with stakeholder x/y/z resulted in the behavioural change we expected? Or not?”
- “How do we have to adapt our tactics and strategy in order to achieve that behavioural change? And adapt our activities accordingly?”

The Activities that contribute to the PI Outcome Area have to be CLASP – it means that in the Action Plan Five levels of activities will always have to be covered in order to create Outputs that contribute to the PI Outcome – they follow CLASP in the PI Cycle.

Several ladders of change are called *pathways of change*. These maps describe the destination of change, the context in which the change takes place, and the processes to engage in during the journey. In developing the ToC you make explicit *how you see the change happening*. Once developed, it serves as a roadmap in the change process. Since you involve communities, policy makers, researchers, and support agencies right from the start, it is a participatory process in which you are jointly involved in constructing the ToC, thus creating a larger sense of ownership, a common belief system and a foundation for the actions required in the often complex social change processes.



**“So that” ladder of change**

CLASP – proof activities in Policy Influencing:

Internal or preparatory activities:

- *fact finding and research (case studies, information gathering on the issue, and mapping the policy process);*
- *constituency involvement (beneficiaries participation and involvement, meetings and information sharing with boards, directors etc.);*
- *alliance building and networking (meetings, information sharing and joint positioning);*
- *external or exposure activities;*
- *lobby activities (i.e. preparing fact sheets, position statements, organise expert meetings, lobby conversations, formulating amendments or parliamentary questions);*
- *communication activities (i.e. Press releases, media contacts, social media, preparing interviews, a website, educational material);*
- *campaigning activities (mainly about awareness raising).*

It is crucial that all these activities are planned in advance, and that budget reservations of time and staff have been made.

## THE ACTION PLAN

On the next pages you will find all the elements of the action plan, along with questions you must now be able to answer having gone through the different analyses:

# POLICY INFLUENCING ACTION PLAN

### CONTEXT ANALYSIS

#### 1. INTRODUCTION AND BACKGROUND

Describe the background and events that lead to the choice of solutions envisaged by you and/or your organisation/alliance – both practical as well as policy and political solutions (referred to in Chapter 4: Identifying the Policy Influencing Issue).

#### 2. POLICY ISSUE

Describe the policy issue you are working on (this can be found in your Theory of Change):

#### 3. FACTORS AND ACTORS AND YOUR ORGANISATION

Describe the *factors* and *actors* related to this *policy* issue, which explain the policy issue. Describe these in facts and figures in order to make your issue credible, legitimate and accountable.

*Useful tools are: (see Toolbox)*

- PESTLE analysis;
- SWOT analysis;
- Problem Tree.

Describe and analyse *your organisation* on the relation between the *vision*, the *mission* (what are YOU going to DO), the *strategy*, the *outcomes* and *outputs* (products and services you will deliver).

Also describe how your *internal organisation* will generate the necessary *inputs*.

And finally define *budgets*, *procedures*, *staff competencies*, and *check your management style*.

*A Useful tool is: (see IOM Checklist in Toolbox)*

IOM Analysis



## PLANNING

### 4. PARTICIPATION OF BENEFICIARIES

Describe the participation of beneficiaries and the results of this participation in planning.

- What has been the role of beneficiaries in the planning? Have they been consulted? Do they have official decision-making responsibilities? Use the participation ladder:

Planning with beneficiaries is done through:

- consulting them;
  - collaborating with them;
  - mobilising them to undertake planning themselves.
- How have you arranged participation of beneficiaries? For example, how frequently have you consulted them?
- What other activities have you undertaken to strengthen their capacities to participate in planning?
- Have you made sure that you have at least consulted all beneficiary groups such as men, women, different age groups and so on? If so, how did you make sure you got relevant information from all those groups? How was the consultation gender-sensitive?

### 5. DEFINE THE POLICY ISSUE

Describe your final analysis of the problem situation (what causes what, and a cause-effect analysis).

In this part we refer to the Theory of Change. If you have used other methodologies like the Problem or Objective Tree for the Logical Framework (LF) or Outcome Mapping (OM) you will find the terminology for those methods between brackets.

#### **ToC step 1: Clarify the ultimate goal or vision**

*(LF: impact; OM: vision)*

Describe your **vision or ultimate goal** of how the situation will be if everything you and others do to solve the problems is successful. Please do remember to make the change for the beneficiaries as concrete as possible.

#### **ToC step 2: Formulate areas of intervention or outcomes**

*(LF: objectives or outcomes; OM = Mission)*

Describe what changes are needed to achieve the vision.

#### **Make explicit what YOU are going to DO.**

These are changes that you, as an organisation, and your partners, are working on. Your programmes contribute to these changes. An outcome is formulated by concretely stating who will change what.

**ToC step 3: Create a “So That – chain” or Pathway of Change**

(LF: the branches of the problem tree; OM = Outcome Challenge Ladder)

Describe for at least one of the areas of intervention the pathway of changes needed to achieve the change on an outcome level. This can be a rough description, but should be made more detailed once you have identified the part of the chain you will be working on (see step 5 and 6).

**ToC step 4 --> Make your hypothesis explicit**

Indicate where needed why you believe changes happen in the way you indicate they happen and what you assume changes also. Be sure to agree on this at different levels of the chain.

*Make explicit why you believe a change in behaviour of a political target, which is the change you will work on, is needed.*

In the part of the chain you will work on it is crucial to make all hypotheses explicit. This will serve a monitoring purpose.

6. DEFINITION OF THE POLICY ISSUE AND EARLY MESSAGE

Describe what the final *policy issue* is you will be working on:

What is *your position* or early message with regard to this issue?

7. STAKEHOLDER ANALYSIS

Repeat the issue and early message as it is the starting point of your stakeholder analysis. List *all* stakeholders that have a stake in the policy issue, and score them according to their *attitude, importance and influence* against your position or message.

(use the tools in chapter 8)

Present the results of the stakeholder analysis in:

- a. an audience prioritisation matrix; and/or
- b. allies and opponents matrix;
- c. the audience targeting table.
- d. indicate how you will make different stakeholders participate in planning and implementation of your intervention, using the participation ladder).

- |                                    |                                      |
|------------------------------------|--------------------------------------|
| - in planning;                     | - in Implementation;                 |
| - receives information;            | - receives information;              |
| - gathers information;             | - gathers information;               |
| - consulted;                       | - consulted;                         |
| - collaborated with;               | - collaborated with;                 |
| - mobilised to undertake planning; | - mobilised to implement themselves; |

## 8. MAPPING POLICY PROCESSES

Describe the major policy processes, events and opportunities for influencing policy decisions relevant to your policy issue. Put these in the table.

Phase	Structure (where?)	Actor (who?)	Time	Action
Brainstorming				
Design				
Pre-decision				
Decision				
Implementation and monitoring				

Who is responsible for making sure actions are directed towards the right actor at the right time?  
Have you considered budgeting for this?

### STRATEGIZING

Based on your message/position, the consultation with beneficiaries, the stakeholder analysis and the mapping of the policy process:

- a. Who are your main allies?
- b. Who are your opponents?
- c. Who are your MAIN POLITICAL TARGETS? (Think of the chains of influence also)
- d. Choose the most important policy events and moments that you will focus on
- e. What will be the role of beneficiaries?
- f. Decide who you are NOT going to influence

### 9. ALLIANCE BUILDING

Based on the stakeholder analysis, describe with which partners you will be seeking to form an alliance.

*Describe how you intend to manage the alliance and network dynamics.*

**Use the Network Analysis tool**

*Do you have a shared ambition? Who is willing to spend time, money and energy?*

*Who will be:*

- partners;
- suppliers;
- links and
- users.

### 10. CLASP PRINCIPLES – ASSESS YOURSELF and YOUR NETWORK PARTNERS

Describe how your organisation and your network score on the principles of Credibility, Legitimacy, Accountability, Service Orientedness and Power.

Since these principles determine the opinion of others about your organisation, please also describe how you would like to strengthen these principles.

You can take some of the indicators in chapter 2.

	Current situation	Desired situation	Actions to undertake
Credibility			
Legitimacy			
Accountability			
Service-orientedness			
Power			

Do you have the budget to keep the principles going and to improve them if needed?

## 11. FINAL ACTION PLANNING – and APPLY CLASP on this ALLIANCE ACTION PLAN

Describe your final action plan, based on the **attached template**.

This is the Finalisation of the So That – Chain based on all analyses. Put the full sequence of steps in your So That Ladder to visualize. For each step you should indicate:

- put your results / progress markers on the step, in terms of behavioural change;
- put your activities / products / services under the step;

Preparation activities:

- research and fact finding
- constituency/beneficiary participation
- alliance building and networking

Delivering products and services:

- lobbying
- communication
- campaigning

- division of tasks and responsibilities in your alliance members;
- timeline;
- resources (financial, human resources, materials);
- potential barriers;
- communications plan.

### Short term results:

Your intervention will always start with a phase in which you engage others such as beneficiaries and allies.

Describe the steps leading to initial engagement: describe for each step which type of engagement you want to see:

#### Step 1

#### Step 2

#### Step 3

At the end of these steps is there an early encouraging response to the programme?

### Intermediate results:

Initial engagement should change the behaviour of those you engage. They start doing things differently with a view to achieving the ultimate behavioural change you all agreed needed to happen. This is active engagement and shows true commitment. This is where political targets will start to be influenced. Describe the steps leading to the effective influencing of political targets. Those are the steps you see happening when initial engagement is converted into actions. Describe for each step the type of change you want to see per stakeholder:

#### Step 4

#### Step 5

#### Step 6

**Long-term result: behavioural change**

This is where the influence on political targets is converted into behavioural change of those targets. If your political targets are not those who need to ultimately change, then ultimately you also want to see change at the level of that target – the final step.

Describe the steps leading to the change of the final stakeholder you want to change. Describe for each step the type of change you want to see happening.

**Step 7**

**Step 8**

**Step 9**

In the Tool you will find a complete Planning Format based on the combination of PME methodologies presented in this manual.



## TIPS for practical application and facilitation

Lots of emphasis nowadays is on making comprehensive plans that prove almost beforehand that you will be successful and sustainable in your interventions. Especially back donors are sensitive to this. But planning should not become an end in itself: a plan is a support tool and not an end-product. Keep in mind that you reserve sufficient time to work and execute the plan, so make it as concrete as possible.

Since not all steps of the So-that Ladder can be planned five years in advance, do not bother to plan all activities so far ahead: only plan your activities for the first year, and define your indicators and progress markers for the following years. Adapt your indicators and progress markers after each year if the context has changed, or if you have already or not yet achieved your desired situation.

In your planning phase you have carefully considered all the step-by-step changes ahead of you in order to achieve your desired behavioural change in decision makers. You have described the indicators and progress markers already: you can use these to monitor and evaluate the progress during implementation. This makes your policy influencing life a lot easier – you already have something to check against.

## QUESTIONS for further reflection

- Does the plan help you to get more focus in your interventions?
- Does the plan help other stakeholders, beneficiaries and allies to understand better what you want to achieve, so that your joint action plan has an increased quality and focus?
- Would you consider finding other donors if planning, monitoring and evaluation will take more than half of your available time?

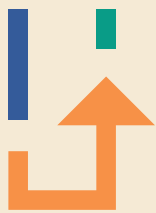






## **Part IV**

# **Implementation and Learning**



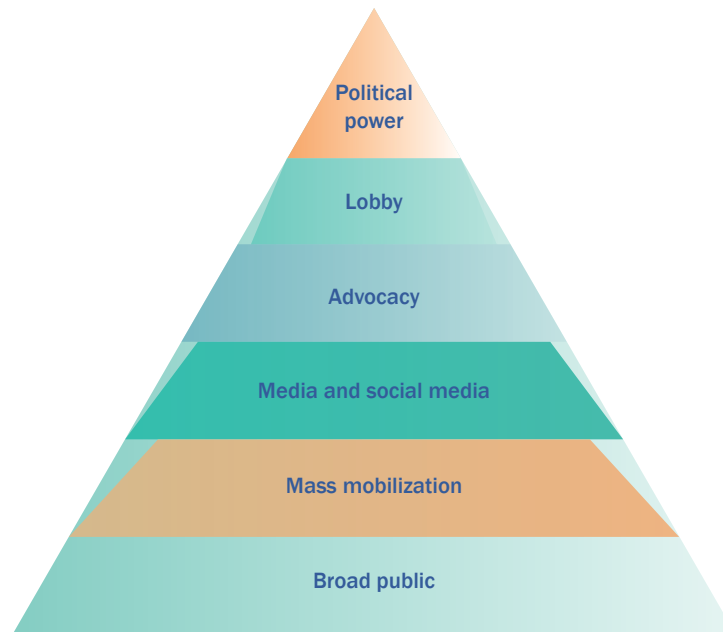
## **Delivering the Final Message**

The Delivery of the Policy Message is the ‘moment supreme’ for every lobbyist, campaigner, communication officer or director. After lots of preparation, you go public with your well-defined position, together with your allies. The way you go public and who does it depends on your defined strategy and tactics. The PI Continuum will help you to define when you do what.

## PREPARING YOUR POSITION FOR DELIVERY FOR DIFFERENT AUDIENCES

All these activities require different outputs, different messages and different competencies. In direct and personal contact with policy makers and political decision makers, you have to improve your personal negotiation skills, and reflect on the attitude of yourself, of your political target, and deal with that in your conversation. In contact with the media, you need either writing, presenting skills or media training, and nowadays, to know how to use the internet.. And when campaigning and mobilising masses you have to be an excellent speaker and leader. Not everyone can do everything well – so divide roles according to positions and competencies amongst the members of alliances or organisations you work with.

Now is the time that you *deliver the products and services* that you planned:



API communication pyramid

- *For lobbying:* you can prepare a position paper, a political statement, organise an expert meeting, have a personal meeting with a policy maker or minister;
- *For communication:* you can address the media with statements, write an article, provide updates on Twitter or Facebook, or give an interview;
- *For campaigning:* you can organise a petition or hold a demonstration.

As you can see, the different actions described previously in the PI-continuum appear in the *communication pyramid* as well.

These levels of actions are interlinked, and have to be planned. When to approach the media needs good timing. You have to consider your strategy very well beforehand, and look at what you want to achieve.

If you approach the media too early with a sensitive issue about to bring about political change, you might disturb your lobby conversation later on.

On the other hand, by going early you can put more pressure on the negotiation by showing public legitimacy through mobilisation or actions.



**Example from Youth Educational Forum, Former Yugoslav Republic of Macedonia**

*We use the web, Facebook and Twitter to share our video activism products focused on “Youth against Corruption”, specifically focusing on the social inclusion of young people and anti-corruption in higher education. We upload short videos (amateur clips, podcasts, and graphics) on Youtube and/or Vimeo which provide us with free space. Clips are voted on and commented directly on the video services, but the most frequent interaction is provided on social networks such as Facebook and Twitter. The main goal of the video activism is to share stories and messages, to inform and to promote certain policy changes. They are most useful for awareness raising since these video clips are well accepted and watched by the wider younger public. The connection with policy influencing is unavoidable because it helps us to gather more people at our events, to attract authorities and officials who are present on social networks, to provide more signatures for the online petitions and to provide huge support in our efforts to push, motivate or lobby institutions.*

## FORMULATING YOUR FINAL MESSAGE FOR DIFFERENT AUDIENCES

The core of your message will be the same, but the audiences you target are different. Consequently, you will have to adapt your message to the public you are talking to. A slogan like f.i. in Egypt: “Mubarak out – democracy in” is excellent for a large mobilisation, but is not helpful on television. In the media you will have to be more specific about your alternatives and backgrounds, like corruption, food and economic crises and the permanent state of emergency of the regime for 30 years. In direct conversation with your political target, you will have to prove that you have figures on corruption, food prices and can provide alternatives that work.

Below you can find key elements to consider when formulating messages for different audiences. In the Tools you find a format and checklist.

### Five Key Elements of Messages

Content is only one part of a message. Other non-verbal factors such as who delivers the message, where a meeting takes place or the timing of the message can be as, or more, important than the content alone. In addition, sometimes what is not said delivers a louder message than what is said.

**Content/Ideas:** What ideas do you want to convey? What arguments will you use to persuade your audience?

**Language:** What words will you choose to get your message across clearly and effectively? Are there words you should or should not use?

**Source/Messenger:** Who will the audience respond to and find credible?

**Format:** Which way(s) will you deliver your message for maximum impact? e.g., a meeting, letter, brochure, or radio ad?

**Time and Place:** When is the best time to deliver the message? Is there a place to deliver your message that will enhance its credibility or give it more political impact?

### Elements of Message Content

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

Successful messages often incorporate words, phrases or ideas that have positive connotations or that have particular significance to a target group. Words such as ‘family’, ‘independence’, ‘well-being’, ‘community’ or ‘national security’ are some examples.

### Example from Levizja FOL – Message

The latest activity of Levizja FOL from their website:

*“Citizens of Kosovo need to be consulted on constitutional changes” is an example of a message on their website. It attracts the wider public and is easy to find in a search machine.*

*The website includes a short description of their opinion and what they expect from the president.*

*That message can be used for a newspaper article as well.*

*The slogan in a demonstration would be shorter like “Kosovo – Change the Constitution!!!”*

*This example demonstrates that your message to different audiences in different situations changes from very short and punchy, to nuanced and detailed when presented to the president.*



## DIFFERENT SKILLS IN CONTACT WITH DIFFERENT AUDIENCES

Different audiences require different competencies and therefore different skills. Some people or organisations are better in direct personal contact with politicians, other do better with business people, and again others are excellent in the media or in front of large groups or gatherings. Understanding which skills are needed with different audiences allows you to define for yourself which skills you have developed best, and consequently which roles fit you best in policy influencing. You can also take more specific skills training to improve your performance in a less developed area.

Examples of different audiences and related skills in:	
<p><i>Personal confrontation with your political target:</i></p> <ul style="list-style-type: none"> <li>▪ conflict resolution</li> <li>▪ win-win negotiation</li> <li>▪ presentation skills</li> <li>▪ conduct lobby meetings</li> </ul>	<p><i>In writing:</i></p> <ul style="list-style-type: none"> <li>▪ writing skills in policy statement,</li> <li>▪ writing media expressions</li> <li>▪ writing information bulletins</li> <li>▪ website writing</li> </ul>
<p><i>In media:</i></p> <ul style="list-style-type: none"> <li>▪ giving interviews</li> <li>▪ presentation skills in television or radio</li> <li>▪ debating skills</li> <li>▪ communication skills</li> </ul>	<p><i>In campaigning:</i></p> <ul style="list-style-type: none"> <li>▪ organising the campaign skills</li> <li>▪ motivating and mobilising large groups</li> <li>▪ use of social media</li> <li>▪ leadership skills</li> </ul>

Therefore it is important:

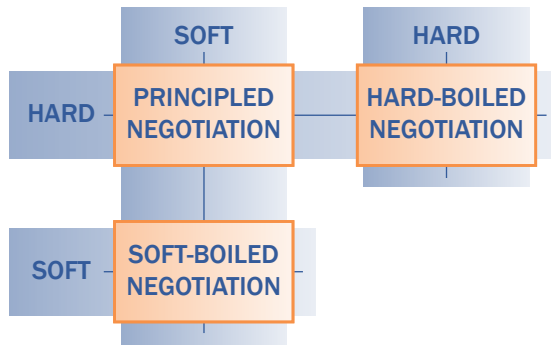
- a) To *select* the right people to do the job they are best at;
- b) To perform *skills trainings* to make people perform better in what they are good at.

That is why you have to practice your skills in different exercises. Practising these competencies are part of the API training course. In the scope of this manual, we limit ourselves to providing a CLASP-based way of negotiation, This is known as Principled Negotiation, otherwise known as win-win negotiation.



That is why you have to practice your skills in different exercises. Practising these competencies are part of the API training course. In the scope of this manual, we limit ourselves to providing a CLASP-based way of negotiation, This is known as Principled Negotiation, otherwise known as win-win negotiation.

### Three approaches to negotiation



Soft negotiators are soft on the person and soft on the problem.

Hard negotiators are hard on the person and hard on the problem.

Principled negotiators are soft on the person, and hard on the problem.

### Principled negotiation

The principled negotiation method is designed to produce wise, efficient and amicable decisions. There are four principles to this method:

#### Separate the people from the problem

- every negotiator has two kinds of interests: the substance or content, and the relationship. It is important to separate these two in order to obtain the optimum result;
- perceptions are the key issue. Ultimately the conflict lies not in the objects of the conflict but in people's heads. Understand the other party. Do not deduce their intentions from your fears. Do not blame them for your problem. Discuss perceptions. Send messages to change their perceptions by acting inconsistently with their perceptions. Make sure they participate in the process by involving them. Make your proposals consistent with their values;
- deal with emotions. Recognize your and their emotions. Make them explicit and acknowledge them as legitimate. Allow the other side to let off steam. Do not react to emotional outbursts. Use symbolic gestures to produce positive emotional impact;
- communicate effectively by using active listening methods, and by speaking with a purpose;

- prevention works best if you deal with people's issues before they become problems. Build working relationships. Think as partners in a sensible, side-by-side search for a fair agreement advantageous to each.

### Focus on interests

- reconcile interests, not positions. For every interest there is usually more than one solution available. Behind opposed positions lie many more common interests than conflicting ones. Interests define the problem;
- identify interests by asking why a particular position is being taken. Each side has multiple interests and the most powerful are basic human needs, like financial well-being, a sense of belonging, acknowledgement, and being able to influence the course of your own life;
- talk about interests. Acknowledge their interests as part of the problem. State the problem before saying what your answer is. Look toward the future and not the past;
- have a clear direction but be flexible in getting there. Be open to new ideas. Be hard on the problem but soft on the people.

### Invent options for mutual gain

- there are four blocks to inventing options for mutual gain:
  - ♦ premature judgement;
  - ♦ searching for a single answer;
  - ♦ assuming that negotiations is a fixed sum game;
  - ♦ thinking that 'solving their problem is their problem';
  - ♦ separate inventing options from judging and deciding. Brainstorm about potential options. Broaden options by moving from general to specific and back again and take different perspectives; create agreements of different strengths and change the scope of the agreement.
- look for mutual gain by identifying shared interests. Dovetail differing interests by identifying them and see if an agreement can be reached based on these differences;
- make their decision easy. Focus on one individual. Create options that will be easy to choose and with consequences that are acceptable.

### Insist on using objective criteria

- the value of objective criteria is that it is cheaper than a contest of wills. In addition it brings standards of fairness, efficiency or scientific merit to bear on the decision;

- develop objective criteria by finding alternative standards for deciding. The standards should be independent of each side's will. An alternative to fair standards is to develop fair procedures for reaching an agreement;
- negotiating with objective criteria contains three steps:
- frame each issue as a joint search for objective criteria;
- reason and be open to reason as to which standards are most appropriate and how they should be applied;
- never yield to pressure; only to principle;
- do not yield to pressure in any of its forms: bribes, threats, manipulative appeal to trust, or refusal to change positions.

Principled negotiation is the most effective way of negotiation. It is important to bear in mind that you cannot have it all at once – your political target has to balance different interests, so keep that in mind. You will probably have to meet many more times in the future before you achieve your final political outcome.



*Training for CSOs on "Preparation and implementation of EU funded Project Proposals", held in cooperation with the Association for Civil Society Development SMART, January 2011, Zagreb, Croatia*

## DELIVERY OF THE MESSAGE

Before you go to the meeting make sure you've made your CLASP checks:

- Can people trust you? (*credibility*)
- Do you have the right to interfere? Are you there with a mandate of your beneficiaries? (*legitimacy*)
- Can you be transparent towards decision makers, back donors, constituency, and beneficiaries alike? (*upward and downward accountability*)
- Are you prepared to be helpful, and is your attitude to focus on win-win solutions? (*service orientedness*)
- Who is your power base and how do you use it?

### Golden Rules for Civil Society Organisations

- ⇒ NEVER GO ALONE
- ⇒ INVOLVE your CONSTITUENCY beforehand
- ⇒ DEBRIEF your CONSTITUENCY afterwards

In Part 5, chapter 15 *Negotiation in a Lobby Meeting* you can find a checklist of the different phases of a lobby conversation in which Principled Negotiation is integrated.

Lastly, it is very useful to initiate reflection and feedback on your attitude, because body language can be more outspoken than words. Many decisions are taken, even in politics, based on instincts that you create while speaking to your target.

Skills training is difficult from a Manual. Many training institutions can help you to practice your skills. In an API-training you can practice some of these skills. With respect to attitude we will have looked into various aspects such as 'dealing with power and feedback while having exercised them in the API training.

## TIPS for practical application and facilitation

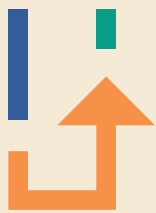
Having concluded above that different audiences need different messages and have different characteristics, this means that you have to tailor your message, channels and activities to each audience. It is also not only you and your organisation, but also the communication strategy of your allies and even your opponents and political targets that you have to examine.

Communication is not a one-way street – it is not just about sending the message. It is also about receiving and listening well. And about keeping yourself updated on what other participants in and around the issue are doing or saying.

In the chapter on preparing your Action Plan this will come back in a logical way, as it is also part of your Theory of Change.

## QUESTIONS for further reflection

- Is gossiping a bad habit or is it a useful way of understanding what is happening? Who is gossiping when, and how? Is there a difference between men and women?
- Is the use of social media the future of beneficiary involvement? How reliable is the information you get through social media, and how can you make it credible, legitimate and accountable, so that it can serve you and others to increase your power-base?
- Can social media be abused? How could that happen? How can you avoid abuse of your profile? What about privacy? What about your personal profile that can stay on the internet your whole life?



## **Monitoring and Evaluation**

## INTRODUCTION: CHALLENGES OF MONITORING AND EVALUATION

Monitoring and evaluation is notoriously difficult for policy influencing initiatives. This is due to different factors:

- many organisations undertaking policy influencing interventions do so without adequate planning. They just do it and see what happens and are not really clear about the change they want to achieve;
- policy influencing is not always about changing things for the better. It is also sometimes necessary to prevent things getting any worse. It is very difficult to measure whether what you do does this;
- policy influencing focuses essentially on changes among those you want to influence. They are also influenced by many other factors, many of which are outside your control, and when these factors are not monitored closely, it becomes very difficult to understand how much influence your intervention has on changing behaviour;
- policy influencing is most successful when done with others. This why we focus on alliance building.



## MONITORING, EVALUATION AND LEARNING

### What is monitoring?

You will find many definitions of monitoring. We refer to the definition used by the European Commission, which states that monitoring is:

“an ongoing collection, analysis and use of information about project progress and the results being achieved. It supports effective and timely management decision making, learning by project stakeholders and accountability for results and the resources used.”

Monitoring is carried out continuously during the implementation of the intervention. Monitoring is thus about accountability, but also focuses on immediate learning.

Monitoring provides management with accurate and timely information in order to take decisions in order to control:

- human resources;
- time;
- material resources;
- quality of results;
- finance.

Other functions of monitoring are:

- documentation of the implementation process;
- enabling learning from experience and feedback.

With respect to the monitoring of your intervention bear in mind that all aspects of the policy influencing plan need continuous attention:

- check the relevance of the topic;
- check the data and research elements in the policies and research;
- check the stakeholders, both allies and opponents;
- check the political process and decision making schedules;
- check the position of your political targets and the media on your topic and adapt your plans and your performance accordingly.



## What is evaluation?

The DAC Expert Group has defined evaluation as follows:

*“an assessment, as systematic and objective as possible of an ongoing or completed project, programme or policy; its results, its design and its implementation. The aim is to determine relevance, efficiency, effectiveness, sustainability and impact.”*

Evaluation can be done during an intervention as a way to have a look at what has been done. It then can function in the same way as monitoring. You learn from what you did and continue with the intervention emphasising the good parts and changing what does not work.

Evaluation is usually done after the intervention has ended. Commonly it is seen as an accountability issue, especially in regards to the donor. However, especially with the approach taken in this Manual with regard to policy influencing, we believe that learning should be central to evaluation when undertaking a policy influencing initiative.

You must first of all understand whether your intervention was successful and whether the anticipated changes occurred.

## Learning, accountability and CLASP

Obviously you must still be accountable to your donors. Monitoring and evaluation is certainly part of that. However, in terms of your CLASP principles, accountability towards other stakeholders, particularly your beneficiaries, political targets and allies, is also important. Monitoring and evaluation should also be done to fulfil that principle. Doing it well also enhances your credibility, it shows service orientedness and may serve in enhancing legitimacy and ‘power with’. If learning also becomes a function of your monitoring and evaluation, than all those principles are even more likely to be fulfilled. With learning we mean that you identify good practices, determine how these work and make sure you try and make these sustainable and duplicate them.

### *How to Monitor?*

For the purpose of starting to monitor a number of issues should be explained:

- the importance of indicators and progress markers;
- the importance of setting up a monitoring system.

## Monitoring indicators

### *What is an indicator?*

In your planning you have discussed within the organisation, with beneficiaries and with your allies, what changes you want to see happen. You agreed on a pathway or ladder

leading to the ultimate change and you agreed on what you would be doing at each step of the pathway or ladder. We have not touched upon the issue of indicators, except in the concerted action plan where we asked you to indicate what you believe you would see if your intervention on a certain level was successful. That in essence is an indicator, also called a progress marker. It measures whether you are successful. An indicator answers the question: how will we know achievement when we see it?

**Definition of indicator:**

*“A quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect changes connected to an intervention, or to help assess the performance of a development actor” (OECD)*

*How to formulate an indicator?*

An indicator or progress marker must be formulated in such a way that it is SMART:

Specific ⇨ Measurable ⇨ Acceptable ⇨ Relevant ⇨ Time-bound

All stakeholders should also agree upon what the overall achievement is.

In order to abide by the criteria above we suggest you formulate an indicator or progress marker using the following types of information:

- quality: the variable or what you want to measure;
- quantity: how much it should change. This means indicating how much it is now and how much it should be;
- target group: who should change, and whose change do you measure?
- time: within which period of time;
- place: where?

*Indicators and spheres*

At this point it is good to recapitulate on the spheres in policy influencing. These are the spheres we introduced in the beginning of the Manual and those we refer to in the rest of the Manual.

The indicators relate to understanding your achievements specifically in terms of:

- the products and services you deliver, and how do you know you have done this and is the quality adequate? These are all within your sphere of control;
- the anticipated change of targets: how will you know they have changed. These are within the sphere of influence and therefore become more difficult to make

concrete. However, this is what your intervention is about and you must be as concrete as possible and agree with others on the indicators and progress markers; and

- the anticipated change for the beneficiaries. How will you know something you did changed the lives of beneficiaries?

### *Indicators and context*

You cannot monitor everything, but you should at least monitor factors you formulated in the PESTLE analysis, changes in terms of actors and their positions and your hypothesis. It is also easy to forget, but you should also monitor some elements of your organisation.

## Building a monitoring system

As indicated above, monitoring should be systematic. Building a system in order to monitor whether things are happening the way they should, and whether success is achieved is in fact a final step of planning. A system can be built answering the following questions:

- Who needs to know? ⇒ situational analysis;
- What do they need to know? ⇒ information needs;
- How to get information to relevant people? ⇒ design of operations.

In the situational analysis you ask: who are the project managers? What are their tasks and responsibilities? What is the project all about? Process? Do we expect problems? In order to answer these questions you need to:

- clarify the management structure (who is responsible for what);
- clarify the objectives (the changes);
- analyse the process (leading to changes);

In the information needs phase you answer the following questions: What do the managers need to know in order to be able to do their job and fulfil their responsibilities? In order to answer these questions you need to:

- identify the monitoring question (what needs to be monitored and why);
- determine the indicators or progress markers.

Finally in the design of operations phase you should establish who does what in relation to information flow, taking into account means and costs. So you:

- design the information flow;
- assess means, costs and risks.

## HOW TO EVALUATE?

The definition already indicates that you can evaluate different aspects of the intervention, namely the results, design and implementation of an intervention in order to determine five aspects. These five aspects are the criteria of evaluation. Below you find a table representing the five criteria and what it may mean to the evaluation of your policy influencing intervention.

Criteria	General question	Policy influencing question
Relevance	is there still a need?	Is the issue still a problem for the beneficiaries?
Efficiency	were resources used wisely?	Were resources used for the planned activities and outputs?
Effectiveness	did we deliver as planned?	Did those activities and outputs lead to the changes we wanted in the sphere of influence? Did we strategise well?
Impact	did it change the lives of the target group?	Did the change we influenced also change something for the beneficiaries in the sphere of interest?
Sustainability	what remains after leaving?	Did we make sure the change is lasting and others, such as beneficiaries, can continue working on the change?

From the table you can already see how important a number of aspects are that we dealt with in previous chapters. You can only evaluate these successfully if:

- beneficiaries have participated effectively, in terms of relevance, sustainability and impact;
- everyone agreed on the exact change that should happen and strategies leading to it, as you did in the Theory of Change and subsequent analyses, again, looking at efficiency, effectiveness and impact;
- you have budgeted for various aspects related to the efficiency of the intervention.

As noted above, you should make sure that evaluation is not just about pleasing the donor. It should be about learning for yourself. Therefore, in your planning, you should already formulate questions for learning.

## LINK WITH THEORY OF CHANGE AND THE ACTION PLAN

You monitor everything you described in the action plan and what is in the action plan comes from your Theory of Change. Using the Theory of Change as a visual model to monitor changes can be extremely useful. It would mean that you add to the chains or ladders you identified and the hypothesis in those chains and ladders.

Theory of Change is often the first thing an evaluator will ask for. Often such a Theory needs to be re-constructed. The exercise then becomes: what changes did you envisage would happen and why did you think these would happen? Using the Theory of Change as a planning method, and using it in monitoring makes evaluation, and learning from evaluations much easier.



*More than 150 participants attended the conference “Quality Standards Assurance for Civil Society Organizations in BiH”, held in Sarajevo, Bosnia and Herzegovina in December 2010*

## TIPS for practical application and facilitation

This chapter on *Monitoring and Evaluation* can be divided into two parts:

The first part of monitoring focuses on immediate learning *during* the activities you have undertaken in order to improve your next interventions. You mainly do this to improve your own performance as a person, a delegation or an alliance.

The second part of monitoring focuses on evaluation *afterwards*. You analyse your interventions over a longer period and what changes you accomplished in the behaviour of your political targets. You can use it to change directions, strategy or tactics based on the outcomes of several actions. You use it to improve your own performance as an alliance.

With respect to the monitoring of the different activities in the Advocacy Plan it must be reminded that all aspects need continuous attention:

- *check* the relevance of the topic;
- *check* the data and research elements in the policies and research;
- *check* the stakeholders: allies and opponents;
- *check* the political process and decision making schedules;
- *check* the position of your political targets and the media on your topic and **adapt** your activity plans and your performance accordingly.

## QUESTIONS for further reflection

- Does your organisation have a Monitoring and Evaluation system in place so that you can register your experiences and learn in a systematic way?
- Can you attribute your influence to the activities you have realised? Can you distinguish your influence from the influence of your allies or other stakeholders on the same subject?
- Do you monitor the policy influencing efforts of your opponents? Are you able to attribute and estimate how the decision maker you influenced has balanced your policy influencing efforts with that of your opponents or other stakeholders?





**Toolbox**



# TOOL 1

## POLICY INFLUENCING CONTINUUM

Facilitation exercise with the Policy Influencing Continuum

Materials you need:

- big poster/brown paper;
- white cards;
- tape;
- markers.
- cards with the terms: policy influencing, lobby, advocacy and activism.

Number of participants: maximum 12.

This is an exercise that you can do with the Policy Influencing Continuum. Possible usages:

- it stimulates reflection on the type of activities that fall under policy influencing;
- it creates a common understanding of differences between lobbying, advocacy and activism;
- it can show the coherence between different types of activities;
- it stimulates discussion about how activities may be seen in different contexts (violent or non-violent).

The exercise:

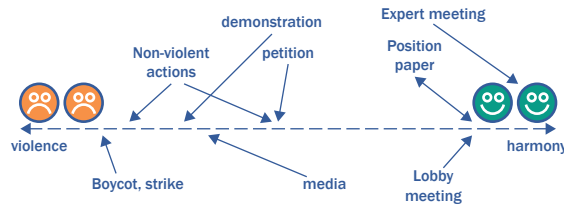
Place a large poster or brown paper on the wall. If you use flip charts you can use a minimum of five flip charts next to each other. On the left hand side place a card that says: violent and/or illegal (you can add the smileys). On the right-hand side place a card that says non-violent. Between these cards draw a line or use a long piece of tape. This is the Continuum. See on the right:



Policy Influencing Continuum

Distribute the cards and markers to the participants. We will use the word participants as if it were a training session, but you can also facilitate this as a team at work. Now ask the participants to think of activities they have done in order to influence policies. Ask the participants to write the activities on the cards, making sure there is one activity per card.

Then ask the participants to take their cards and stick them individually on the poster/ brown paper on the continuum. Be sure to let participants do this individually and avoid clustering of similar activities merely because a certain type of activity was on the continuum first. The Continuum could look like something like this:



Now discuss the results of this exercise. During the discussion allow people to modify the position of their card in order to get a uniform understanding the Continuum. This does not mean that one activity can only be placed on the Continuum in one place, but it means that participants may have understood the positioning itself differently even though they undertook an activity with the same intention and the same result.

Some elements for discussion are:

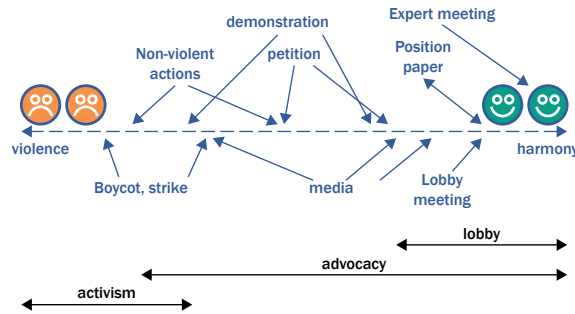
- what is the first thing you notice when looking at the result of the exercise? Depending on the group you work with you will notice a slight inclination to have a cluster of activities at the right-hand side only, at the left-hand side only, or in the centre;
- when you look at the activities: do you see similar activities that are placed on different parts of the Continuum? This is an important discussion as you will start gathering elements of strategy and elements of the different categories of activities such as lobbying, advocacy and activism;
- pick one or two participants and ask them to indicate activities that were part of one intervention.

The discussions allow participants to start getting a grip of what policy influencing can be. We have noticed in training that many participants have a narrow notion of policy influencing (f.e. only lobbying). Participants often also realise that they have been doing policy influencing more then they think.

Finally, show the four cards with the terms on them. You yourself put the card with policy influencing on it above the Continuum. Check if everyone agrees. Then ask participants on

which end of the Continuum they would place the card with 'Lobby' written on it. On the right-hand side. Ask them to indicate more or less the activities placed on the Continuum they would place under 'Lobby'. Draw a line or use tape to indicate this. Do the same for 'Activism,' on the left-hand side and 'Advocacy'. For 'Advocacy' it may be a little less clear-cut, so guide the participants through the thought process.

The Continuum then may look like this:



## TOOL 2

### EXERCISE: IDENTIFYING THE SOURCES AND USES OF POWER

#### Purpose

To introduce the concept of power and to encourage people to recognize their own power and potential. This is a quick way to begin to explore participants' views of power. If you have more time, the next exercise allows for more in-depth analysis.

#### Process (Time: 30 minutes to 1½ hours)

1. Hand out copies of the illustrations on the next page with the following questions:
  - identify and describe the kind of power depicted in each of the four drawings;
  - explain the impact of this kind of power on citizen participation.
2. A brainstorming discussion is guided by two questions. Record on flipchart paper.
  - what are the main sources of power?
  - what are your potential sources of power as a citizen?

To effectively influence the power structures of government or corporate interest, one needs other sources of power. In the context of public advocacy, six major sources are:

- the power of people and citizens' mobilization;
- the power of information and knowledge;
- the power of constitutional guarantees;
- the power of direct grassroots experience and networking;
- the power of solidarity;
- the power of moral convictions.

John Samuel, National Centre for Advocacy Studies, India

#### Follow-up

This exercise focuses on the visible aspects of power. The next exercise, Feeling Power and Powerlessness, looks at the more invisible psychological, emotional, and social aspects of power.

## Common Responses for: <sup>8</sup>

### “Sources of Power”

- control;
- money and wealth;
- position;
- knowledge and information;
- might and force;
- abuse;
- capacity to inspire fear.



### “Alternative Sources”

- persistence;
- information;
- being just;
- organization and planning;
- our own knowledge and experience;
- numbers\*;
- commitment or righteousness;
- solidarity;
- humour.



<sup>8</sup> This list combines the responses of activists from 10 different countries.

\* The power of numbers is, potentially, a huge source of power, but it is often not effectively used. For example, in most countries, women are the majority of voters, but are under-represented in decision making and have less access to public resources. Mobilizing alternative sources of power requires ways of challenging an ingrained sense of powerlessness.

## TOOL 3

### EXERCISE: FEELING POWER AND POWERLESSNESS

#### Purpose

To explore personal experiences with power and powerlessness and what they tell us about alternative sources of political power.

#### Process (Time: 2 hours)

1. Give each participant a large sheet of paper and markers.
2. Ask them to draw a line down the middle. On one side they draw a situation that has made them feel powerful. On the other side they draw a situation that has made them feel powerless.
3. Ask each person to explain their drawing.
4. After all of the drawings have been explained, copy your notes onto newsprint. Point out that the words people use to describe experiences with power illustrate their discomfort. For example, associations with control, violence, abuse, force, and money often make people feel ashamed. Highlight the individual stories that demonstrate that people are not completely powerless. For example, they have power through organizing, working together, problem-solving, getting information, or doing what is ethical.

*Personal experiences of feeling powerful or powerless can encourage participants to use empowering methodologies. Advocates often believe that they must speak for the communities with whom they work and solve their problems. Through this exercise, they can see that it is more helpful to offer skills and information, and so enable communities to solve their own problems.*

Listen for the feelings and actions that embody the emotional, spiritual, and psychological elements of power or powerlessness. Jot these down on a piece of paper. Here are examples from workshops.

#### Common Responses for Situations that:

##### “make you feel Powerful”

- overcoming fear or a feeling of ignorance by pushing myself to take action;
- recognition by others of what I did;
- opportunities to prove oneself;

##### “make you feel Powerless”

- disrespect and putdowns;
- being ignored;
- being stereotyped and denied;
- lack of control;
- loss;
- ignorance;

- finding a creative way to solve a problem that seemed unsolvable;
- being able to handle a difficult assignment;
- succeeding as a leader;
- caring for and helping others;
- joining a group with other people who have the same problem;
- capacity to inspire fear.
- shame;
- isolation.

The list combines responses from several countries.

Many people do not feel confident about drawing. They may ask if they can just write the answer using words. Explain that drawing is often a more effective way of reflecting and expressing emotions. Having to think creatively about how to express yourself often makes you think about experiences vividly with fresh eyes. Encourage the most resistant people to use symbols and stick figures. The quality of the artwork is not important.

## TOOL 4

### ENVIRONMENTAL SCAN

#### Why scanning?

Many development projects face one or more of the following problems:

- a shortage of counterpart funds: the government does not have the money that it promised to finance the local expenditures;
- the inability to hire and retain qualified staff because government policies and procedures do not match the needs of a temporary project;
- the ineffective transfer of technology and difficulty in building and sustaining institutional capacity;
- increased prices of equipment;
- trade regulations hampering economic development of the target group;
- a shortage of supplies and materials due to the overall economic problems;
- absence of financial services to low income target groups, limiting their ability to invest;
- tax and registration policies influencing economic activities.

All of the above problems are environmental factors, called threats, which may influence the project negatively, but which are not under the direct control of the project manager.

On the other hand, there may be positive developments in the environment that are or could be of good use to the project, like

- a growing interest of the target group for project services;
- a growing commitment of the government to co-operate;
- a growing political stability;
- a reduced political interference.

It may be very useful to recognise and exploit these positive factors, called opportunities, to the benefit of the project. It may even be possible to stimulate some of these positive developments further, some through direct activities (education, training, etc.) of the project, others through influencing others.

To be able to address the factors (positive and negative) the project manager has to ask the following questions:

- which relevant factors (positive and negative) are influencing the project?
- what is the importance of these factors for the performance of the project?
- what is the degree of power that the project has over each factor?



- what can be done to address the factor?
- what coalition partners can be used to influence those factors that cannot be influenced directly?

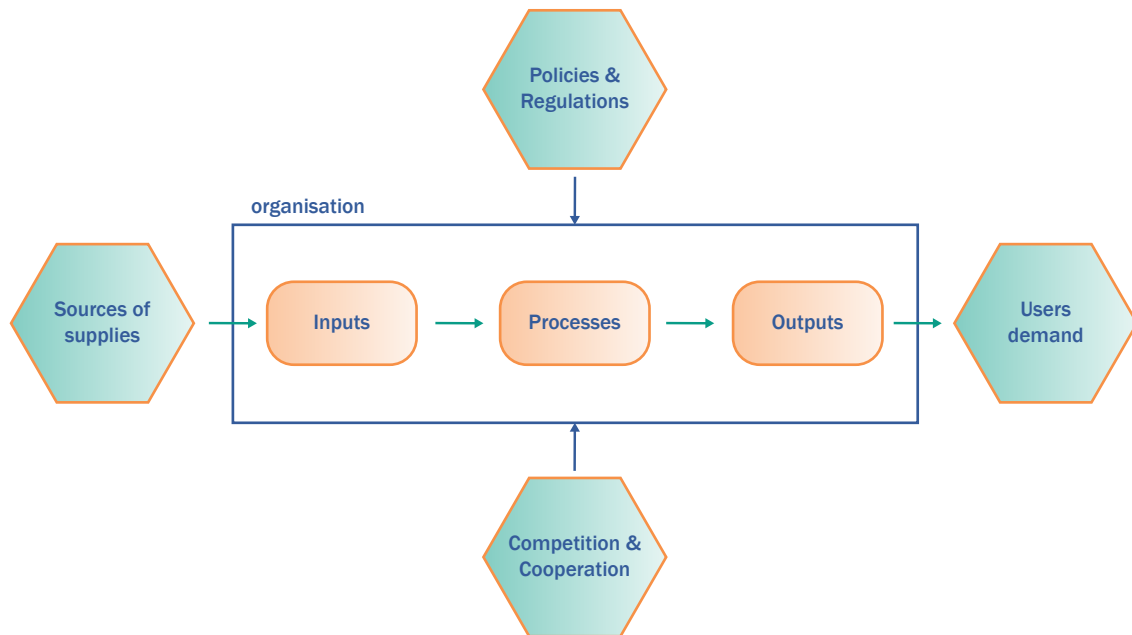
This means that the project manager has to look beyond the project organisation in order to be able to ascertain the effectiveness and efficiency of the project. He has to scan the project environment.

## Scanning components

### Type of factors

- input-output related classification.

A project or organisation can be depicted as an input-output system.



It follows that the environmental factors influencing a project/organisation can be classified in four categories:

- factors related to the supply of inputs (staff, material, equipment, capital, etc.);
- factors related to the demand for the products/services by the target groups;
- policies/regulations influencing the performance of the project/organisation;
- factors of competition and co-operation influencing performance of the project/organisation.

### Classification by discipline

Another classification of factors can be given by discipline:

- physical factors (e.g. draught risks affecting agriculture);
- infrastructural factors (e.g. roads, power supply, communication lines, affecting commercialisation);
- technological factors (e.g. new technological developments);
- commercial/economic/financial factors (financial services, economic trends, etc.);
- psychological/socio-cultural factors (e.g. attitudes towards credit risks);
- political/legal factors (e.g. government regulations on interest rates).

### Classification by geographical scope

A third classification of factors is by geographical scope:

- local factors/developments influencing the project (e.g. local power struggles);
- regional factors/developments influencing the project (e.g. regional economic trends);
- national factors/developments influencing the project (e.g. national politics);
- international factors/developments influencing the project (e.g. donor attitudes towards the country influencing the project).

## Impact and probability

It is furthermore necessary to identify whether or not a factor is really having a strong impact on the project in order to establish whether it will be worthwhile to address it. If a factor does not have much impact, it is not very useful to include the factor in the analysis. In the same way factors that are not likely to occur are most often not very useful to include in the analysis.

## Power

In relation to environmental factors it is important to identify to what extent the manager of the project/organisation has power over them. In general, three types of power can be distinguished:

**Control:** the manager is able to give orders to address the factor and can expect that they will be carried out.

**Influence:** the manager has some power, but at the same time has to rely on actions of others outside the organisation.

**Appreciation:** the manager of the project/organisation does not have direct influence, but has identified the factor and understands its impact.

Factors within the project can often be controlled, but factors outside can mostly only be influenced, while other factors (often macro-economic developments) can hardly be influenced at all, but can only be understood or appreciated. Some of these factors (e.g. the interest policy of the national bank) cannot be influenced directly, but it might be possible

to influence them indirectly (e.g. through contacts with international donor agencies like the World Bank). For those factors, if they are important for the project, it is necessary to identify those actors that can influence them, and it will be necessary to find ways of influencing these actors to do so.

## Steps in making an environmental scan

### 1. Define your field of analysis

### 2. List all (external) factors influencing your field of analysis

- political/legal;
- physical;
- infrastructural;
- technological;
- psychological/socio-cultural;
- economical.

### 3. Identify if the factor has a positive or negative impact on your field of analysis

- positive : green card;
- negative: yellow card.

### 4. Identify if the factor is happening, or likely to happen

If not: leave out

### 5. Identify if you can influence the factors directly or not

Classify the factors as related to (see attached format):

- policies/rules/regulations;
- supply/inputs of the project/organisation;
- demand/outputs of the project/organisation;
- competition/co-operation.

### 6. Mark the factors that have the highest impact on your field of analysis with (\*)

Maximum five positive factors (opportunities) and 5 negative factors (threats)

### 7. Conclusion

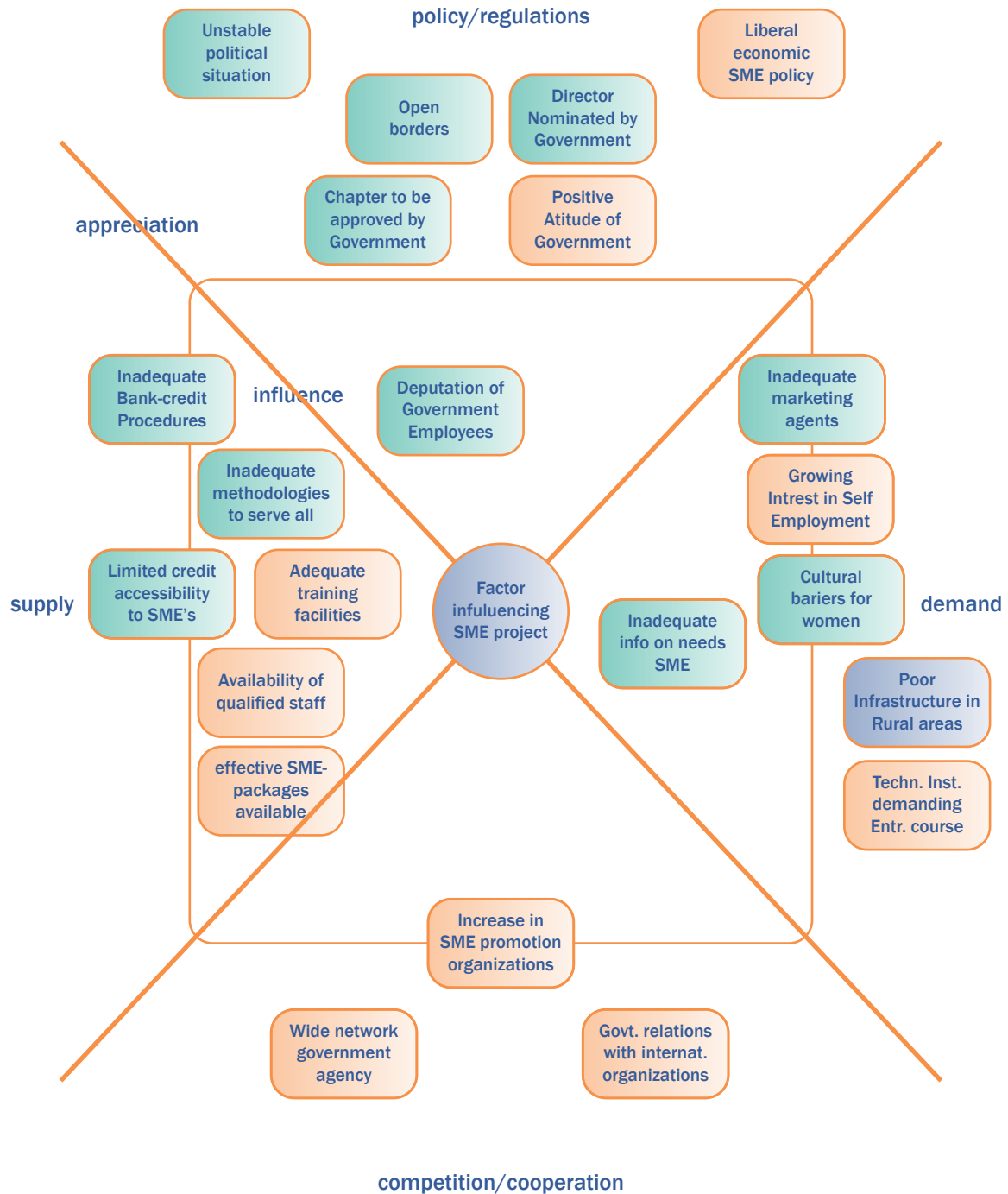
What are the major positive factors (opportunities)?

What are the major negative factors (threats)?

Which ones can you influence directly and which not?

How could you address those factors that you cannot influence directly (through which other actors)?

## Environmental Scan: SME Project in Nepal



## Conclusions from the environmental scan:

The major positive factors (opportunities) to utilise are:

- growing interest in self employment;
- technical institutes demanding entrepreneurship courses;
- adequate training facilities;
- available SME packages;
- the liberal economic policy.

All factors can be directly further influenced/ stimulated by the project, apart from the liberal policy which should be further stimulated through the contacts at government level.

The major negative factors (threats) in relation to the performance of the project are:

- inadequate information on needs of entrepreneurs;
- deputation of government employees;
- inadequate methodologies to serve all;
- poor infrastructure (to influence through government contacts);
- inadequate bank credit procedures to influence through contacts with the bank.

The infrastructure problem cannot be influenced directly, but only through contacts with government. The credit problem can partly be addressed further by the development of a credit scheme, preferably in collaboration with banks.

## TOOL 5

### INSTITUTIogramme

#### Steps in making an Institutiogramme

0. **Define the problem owner** who wants to intervene
0. **Formulate the question** that you want to answer by making the institutiogramme.  
Suitable aims of using an institutiogramme are:
  - to position a project or programme (choosing who implements what and/or who co-ordinates/supervises);
  - to develop key relationships (identifying bottlenecks and designing ID interventions);
  - to prepare strategic choices (on what to produce and how to serve your mission).
0. **Define the field of analysis**
  - define the sector or service/product;
  - define the geographical area;
  - decide whether you depict the current, expected or desired situation;
  - clearly distinguish desired from current and/or expected;
  - analyse the desired situation only after the current and/or forecasted situation;
  - comparing current and expected or desired situations can be of added value.
1. **Define the orientation.** This may be:
  - radian (only depicting relations between the central actor and the others); or
  - network (depicting the relationships between all actors).
2. **Define the type of actors** to include
  - define the level: clusters of organisations (e.g. 'NGO's'), individual organisations, units within organisations, and/or individuals within units;
  - define the type: public, private, target group (optional);
  - place each actor on a card.
3. **Identify and position the actors** in a map (if you identify more than 20 actors, split into more institutiogrammes)

Use large sheet of paper for this. People must be able to move the actors around.

*Note: If you analyse a sector or programme implemented by several actors, place the actors that are under the control of the problem owner in the middle and draw a line around them. This helps you to distinguish relations under control and outside the control of the problem owner. Observe that this demarcation is narrower than the entire sector. Also note that this border may shift depending on which actors you contract for implementation. Before strategic orientation, verify that in- and outside are distinguished unambiguously.*

4. **Optional: Cluster and order** the actors as follows, to further a comprehensiveness:
  - (potential) implementers in the centre;
  - suppliers to the left;
  - co-ordinators and supervisors above;
  - regulators and macro-actors on top of the co-ordinators;
  - stimulators (e.g. donors) below;
  - immediate/intermediate target groups or clients to the right;
  - ultimate target groups to the far right.
5. **Define the type of relations** to look into (in relation to your question). Suggestions:
  - hierarchy;
  - services/inputs;
  - communication;
  - co-operation;
  - financial flow.
6. **Draw arrows** to show the relations in the map, using
  - different types/colours of lines for different types of relations;
  - an arrow at one end (or both ends) of all lines;
  - include also informal relations.
7. **Show the intensity** of relations (frequency and importance, e.g. with line thickness)
8. **Judge the adequacy** of the relations (in view of your question), and show your judgement in the map. Also look at relations that do not exist, and add your judgement on cards below the map. In your judgement refer to the BQ and/or assess relations in terms of:
  - timeliness;
  - quantity;
  - quality of service delivery.

*Note: Try to distinguish judgement of the internal and external situation. If your relationship with another actor is good/bad,*

- *to what extent does it characterise the other (opportunity/threat); and*
- *to what extent is this caused by you (strength/weaknesses – remember them for the internal analysis).*

*Note: Do not have lengthy debate about whether a relation is positive or negative. In case of uncertainty or disagreement:*

- *check whether the judgement is based on the basic question. If the basic question seems pointless or vague, refine the question;*
- *split the relation into sub-relations that are positive and negative;*
- *give the relation both a positive and a negative judgement, or no judgement at all.*

*Note: if there is insufficient information about certain facts, this can be noted for further research. 'Being uninformed' is in itself also a weakness or threat.*

9. **Analyse the institutiogramme**, resulting in observations and conclusions:
- who do you propose to give which (implementing or co-ordination) task?
  - which (key) actor do you need to analyse further?
  - what ID interventions should be undertaken?
  - where are (main) pluses (called opportunities – write them on yellow cards) and what are main negative relations (threats – write them on blue cards)?

*Note: If you analyse relations between actors who are both under the control of the problem owner within a sector or programme, then classify the relations as strengths and weaknesses. Call pluses strengths (write them on green cards) and minuses weaknesses (write them on red cards)*



## TOOL 6

### PESTLE

#### Political

Political stability; Government term and change; Elections; Governmental leadership; Policies; Government structures; Judiciary; Legislature; Lobbying groups; Wars and conflict; Inter-country relationships/attitudes; Terrorism; Political trends.

#### Economic

Home and overseas economy situation and trends; GDP; Debt; Sources of government income; Income distribution; Taxes; Trade and industry; Interest and exchange rates; Unemployment; Inflation; Tariff; Import/export ratios; Corruption; internal organisational finance.

#### Social

Public opinion; Media views; Major events; Faith and ethnic factors; Ethical issues; Demographics (age, gender, race, family size); Lifestyle changes; Education; Trends; Diversity; Immigration/emigration; Land ownership; Health; Living standards; Role models; Leisure activities; Organisational brand image; and Internal organisational culture.

#### Technological

Technology development; Information and communications infrastructure and access; Inventions and innovations; Energy uses/sources; and Transportation.

#### Legal

Current and future laws affecting issue (e.g. Environment, employment); Regulatory bodies and processes.

#### Environmental

Weather; Climate change; Deforestation; Desertification; Pollution; Drought; Flooding; Wildlife; Agriculture; Ecology.

*Source: CAFOD Advocacy training*

## TOOL 7

### PROBLEM TREE/OBJECTIVE TREE

You can use the problem tree tool to identify and define a policy issue when you combine it with an objective tree (also explained on the next pages). This would be an alternative to the Theory of Change that is presented in the core text. You can also use the problem tree alone as a way to analyse the context. Then you can combine it with the Theory of Change, whereby the problem tree is the baseline.

A problem tree analysis is a planning method that provides the analysis of problems related to a specific subject, and places the problems in a cause-effect hierarchy. At the end the cause-effect relations are visualised in a diagram.

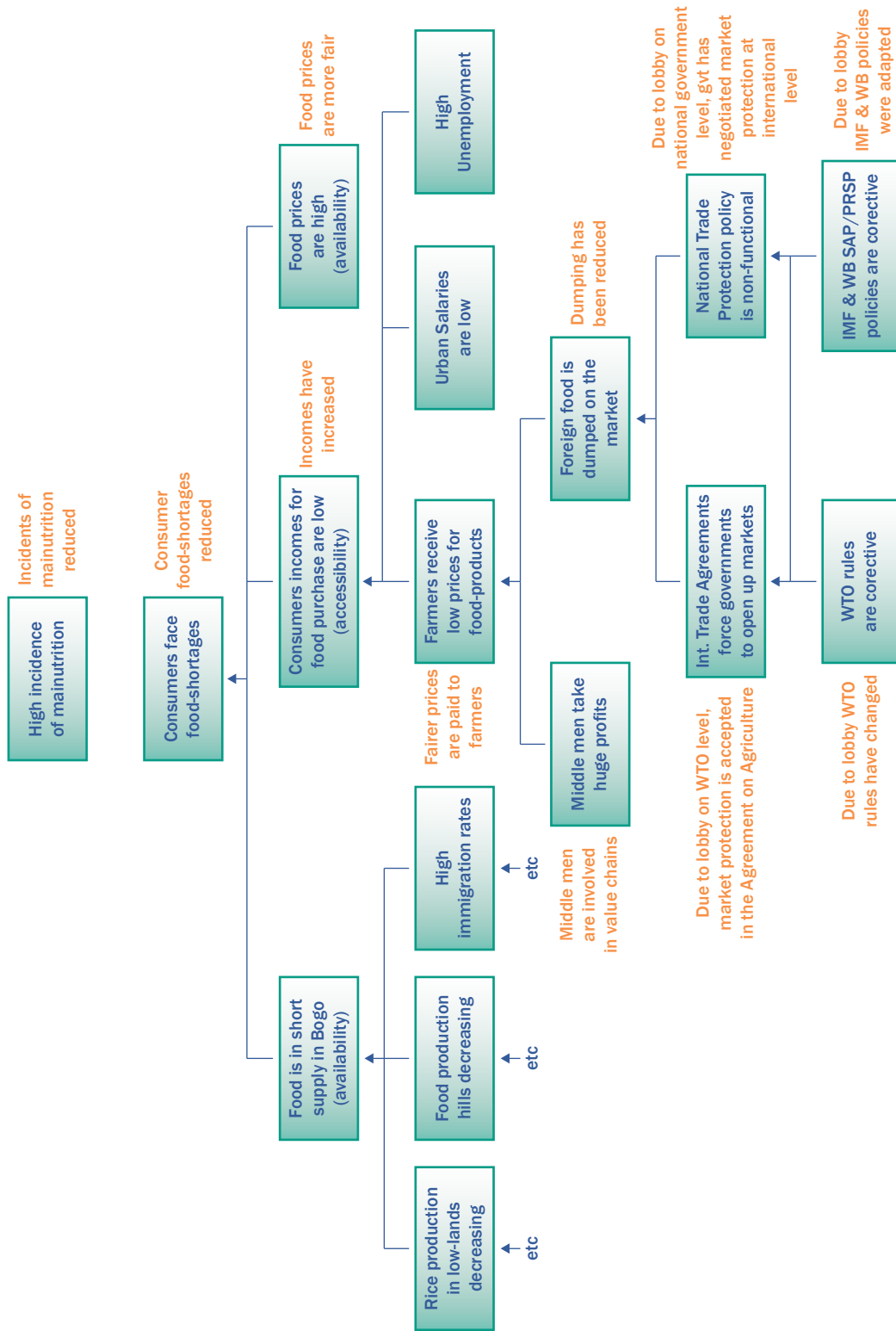
An objective tree is the translation of the problem tree into a positive state of affairs. The objectives should be verified and the means-end logic should be guaranteed.

A problem tree and objective tree should be carefully moderated for it to be useful. In the table on the next page you find some tips for moderation:

Step:	What moderators says:	What moderators does:
1. Participants write a number of problems on cards (start with 3 per participant) relating to the entity (realisation/ implementation of .....).	<p>“Let’s now write down all problems related to the entity of our sub-group.”</p> <p>“Think also about problems that might be relevant for parties who are not present in this room.”</p>	Give each person 3 yellow cards. Check whether people are writing clearly. Hang cards neatly on the wall. If necessary, distribute extra cards.
2. Check all problems for understanding	<p>(Read the problem on the card loud and clear).</p> <p>“Is this problem clear?”</p> <p>(if necessary)“Can someone explain the problem?”</p> <p>(if necessary)“How can we reformulate this problem? Can you write that down?”</p> <p>“Can we remove the [original problem] and replace it with [reformulated problem]?”</p>	<p>Point at the card.</p> <p>Look around the group.</p> <p>(Check in your mind whether the 6 rules are applied correctly and whether problem is related to the entity. If not, ask the participants.)</p> <p>Give a new yellow card.</p> <p>Hang the new card on the wall, remove the old one.</p>
3. Explain tree building again.	<p>“We are now going to identify cause-effect relationships.”</p>	Hang all problems neatly on one side of the paper.
4. Choosing a starter problem which has a number of causes and a number of effects.	<p>“Let’s try to select a problem which has a number of causes and a number of effects.”</p> <p>“What are some the causes of [starter card]?”</p> <p>“And effects of [starter card]?”</p>	<p>Take the card which someone mentions and place it in the centre of the wallpaper.</p> <p>If it is difficult to quickly find some causes and effects, try another one.</p>
5. Identifying causes of starter problem.	<p>“Does [proposed cause] lead to [starter problem]?”</p> <p>“Does [second cause] lead to [starter problem]?”</p> <p>“Does [second cause] lead to [first cause]?”</p> <p>“Does [first cause] lead to [second cause]?”</p>	<p>Hold the card under starter problem.</p> <p>Hold the card under starter problem.</p> <p>Hold card under the first cause.</p> <p>Hold card above the first cause.</p>
6. Identifying effects of starter problem.	<p>“Which problem is an effect of [the starter problem]; which problem is caused by [the starter problem]?”</p>	see above
7. Continue building the tree	<p>“Let’s try to include the remaining problems in our tree. Let’s identify more causes and effects. What are other causes or effects you can see.”</p>	see above
8. Check the logic of the tree and draw the lines.	<p>Moderator reads the tree. If you feel that something is not logical, or that some problems are missing, ask the group.</p> <p>“Are problems missing. Are there other problems, not mentioned, which lead to this problem?”</p>	<p>Use your hand while checking the logic</p> <p>Draw the lines with a marker; think of bridges; lines go out of the top and come in at the bottom of cards</p>

An example of such a problem is graphically presented on the next page. The example is based on a real case, but the names are fictional.

## Bogo Tree - Policy Influencing



In the boxes you find the problems, while besides the boxes in red, you find the results of the objectives tree. These can also be presented in the more classical way as a mirror of the problem tree (creating a tree (objectives) with its roots (the problems)).

In this example you can see how an organisation that wants to contribute to better nutrition or food security for people in fictional BOGO could decide to undertake policy influencing on different levels. In any case their analysis shows that some of the solutions may need to be found in addressing policies at different levels. You can also see that there are intervention areas that do not directly require policy change.

## TOOL 8

### THEORY OF CHANGE CASE STUDY

#### DEMO CASE for TRAINERS - HIV/AIDS Rubadunia

*Explanation on how to build the Theory of Change using the People Living With HIV/AIDS (PLWHA) DEMO case*

Theory of Change is a model that is helpful to analyze thinking on how change takes place. It establishes relationships between different aspects of change and produces “a pathway of change”, a map of causal relations. This pathway of change is quite different from a problem tree (part of LFA).

Steps in Theory of Change (as per MDF)

1. vision of success;
2. areas of change;
3. pathway of change;
4. hypothesis (in literature called ‘assumptions,’ but we consider this confusing in relation to the word ‘assumptions’ used in the logical framework and therefore use the term ‘hypothesis’).

#### Vision of Success

In the vision of success you want participants in a Theory of Change workshop to more or less specifically describe the situation the final beneficiaries are living in / enjoying (in a hopefully not too distant future).

Discuss what the vision is together with the participants and write the vision on the flipchart.

*PLWHA feel accepted, not stigmatized, are integrated in society. This means that PLWHA have opportunities for jobs, including in the government sector, live harmoniously together with neighbours in their communities, are effectively supported in dealing with the consequences of their illness, by their family and community members, government and can be open about their disease and what this means for them.*

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consequences of their illness, by their family and community members, government and can be open about their disease and what this means for them.

### Brainstorm the desired change

Identify areas of change within the vision; areas where change needs to take place in order to make the vision of success a reality. It is easiest to build change areas around 'actors'. Try to make this change area as specific as possible, relating actors to situations and factual situations.

On the basis of these change areas brainstorm what change is required in order to bring about change in relation to that area. All changes thus identified constitute change elements. All change elements are context specific and focus on relationships between: organizations and persons and change in factual situations.

Present the scheme underneath on a flipchart, in order to explain the different change elements.

Change areas here are related to the following actors (list is not exhaustive):

- community;
- governments;
- employers;
- family;
- HIV/AIDS infected persons;
- health workers.

Use verbs in describing change elements, that describe how a person's behaviour *has changed* when making steps of the 'so that' chain, e.g.:

- have developed awareness;
- are making connections;
- are sharing relevant knowledge;
- show commitment;
- have become involved;
- are undertaking action, are active;
- are highly qualified, have developed expertise;
- are able to express;
- show appropriate leadership ;
- are contributing;
- are supportive of...

*Note: it is important that you can visualize the change. Can you see it happen? What is different compared to before?*

## Pathway of change

Change elements are considered to be conditional for other change to take place.

Explain that for example someone will only change his or her behaviour, if he or she has knowledge about what the consequences of his or her behaviour are for others. And he or she will only know what the consequences of his or her behaviour for others are, if others will actually let him or her know what they think of his or her behaviour.

Start demonstrating how the “pathway of change” works, by making use of pre-printed cards, linking the various change elements to change areas. And then the change elements to each other – in a “so that” manner. Then draw the lines between the different change elements.

For the purpose of the demonstration we only elaborate on 3 different change areas: community acceptance, government employment, PLWHA empowerment (there may be more, but that would make the demonstration much more complicated).

Stress that relations can be multifold:

- from bottom to top;
- from top to bottom;
- from left to right;
- from right to left;
- reinforcing (between two change aspects – two directional).

Afterwards, discuss the relations between the different change elements in terms of:

- if this change takes place, then what else will change;
- is it likely that this change will take place;
- or --- does something else also need to change? And what?

Remember: this is just a theory – we think it plausible that change will indeed take place the way we foresee it in the specific context.

## Develop hypothesis

Theory of Change differs much from other planning methods, because there is an emphasis on checking reasoning and thinking in the envisioned change process.

We are always assuming a lot and it is good to check your assumptions, so that your ‘theory’ is not flawed. Why do you think that this causal reaction will actually take place?

This is where we formulate our hypothesis; explaining the arrows between the different steps. In literature hypotheses are often called assumptions, but since we also use the terms assumptions in the logical framework, MDF has adopted the term hypothesis to prevent confusion. By doing this collectively you check the logic behind the change process and make your own assumptions behind the change process explicit which creates the opportunity to discuss it with other stakeholders.



Take a number of *so that* relations and focus on issues that are behind the assumption (e.g. in terms of behaviour / willingness / extra conditions that need to be fulfilled, etc.).

### Usage of colours for cards:

Areas of Change - white

Desired Changes - yellow

Hypothesis/Conditions - blue

Areas for Working - white

Vision - green

Outcome in Result Chain - yellow

Outputs in Result Chain - red

Activities - white

## STEP 1

## The so - that chains

### I Community acceptance (read upwards)

**Desired Change: People in communities are engaged in actions that focus on reducing the stigmatization of HIV/AIDS**

<so that>

People in communities have pulled together resources in order to carry out actions (F)

<so that>

People in communities know which actions they can undertake and have decided on the actions they will carry out (E)

<so that>

Religious leaders support community actions that will be undertaken in order to reduce stigmatization of PLWHA (women and men) (D)

<so that>

People are aware of the effects / consequences of stigmatization on community members (C)

<so that>

PLWHA (women and men) discuss / present their social situation (regarding stigmatization) to community members (B)

<so that>

PLWHA (women and men) do not fear to present their personal health situation (A)

**II Government employment (read upwards)**

**Desired Change: Government institutions have employed a number of PLWHA (women and men) as part of their HIV/AIDS employment policy**

<so that>

Government institutions are willing and motivated to employ PLWHA (women and men) (F)

<so that>

Government has adjusted their employment policy to include gender specific and favorable conditions for employing PLWHA (E)

<so that>

Government is aware of the problems PLWHA (women and men) are facing in economic and social terms (D)

<so that>

CSOs engage in discussions with government the social situation of PLWHA (women and men) (C)

<so that>

PLWHA (women and men) provide information regarding their social situation to CSOs and government organizations (B)

<so that>

Civil Society Organisations (CSOs) listen to the situation PLWHA (women and men) are facing (A)

**III PLWHA empowerment (read upwards)**

**III Desired Change: PLWHA (women and men) discuss / present their social situation (regarding stigmatization) to community members**

<so that>

PLWHA (women and men) develop their own actions that enhance the dialogue and interaction with the community members on the consequences of living with HIV/AIDS (C)

<so that>

PLWHA (women and men) know what actions bring change in how they relate to the community they live in (B)

<so that>

PLWHA (women and men) do not fear to present their personal health situation (A)

**STEP 2**

## Hypothesis

**Examples of hypothesis for chain I:**

D: Religious leaders expose themselves in relation to HIV/AIDS

F: People give enough priority to mobilize funds

**Examples of hypothesis for chain II:**

A: We can reach people with HIV/AIDS

D: Government takes the info of CSOs seriously

**Examples of hypothesis for chain III:**

A: There is a cultural opening to talk about HIV/AIDS among women and men

Desired Change level: Community members support the implementation of the actions of PLWHA.

## TOOL 9

# BENEFICIARY PARTICIPATION: HUMAN RIGHTS-BASED APPROACH

The human rights based approach (HRBA) shifts the focus of (development) interventions from a focus on needs of poor and marginalised people to the recognition of their equal rights. It tackles the unequal power relations underlying poverty and social injustice. Re-focusing from needs to rights means that the poor and marginalised are recognised as holders of rights that can be claimed. On the other hand, it also means that State institutions are bearers of duties towards the rights-holders and should be held accountable for non-fulfilment. Similarly business companies could be duty-bearers, though this is still, in international law, quite controversial.

This recognition means that human rights become a practical instrument and a not mere statement of intent. The focus of HRBA is not only on the goal, but also on the process of an intervention. Through active and true participation of rights-holders and duty-bearers alike, this process is empowering. For several years the HRBA has been specifically used for many different sectors including for access to justice.

The human rights based approach is guided by a number of principles, the most important of which are: participation, non-discrimination, empowerment, accountability, and linkage to human rights standards. When the process abides by these principles an intervention based on the HRBA must be empowering, especially for the most vulnerable, and increase accountability.

Empowerment lies at the heart of any intervention. It is one of the goals of the intervention that can be achieved through the process. Designing the process well means that the process in itself is empowering. It can also be seen as the reverse of accountability where capacities are built to exercise duties. Empowerment means that capacities are enhanced to claim and exercise rights. Here also the intervention must build on existing strengths. Empowerment is intrinsically linked to participation, as the way participation of the beneficiaries of an intervention is set up determines the level of empowerment.

Participation means that channels for participation must be created and participation must be active, free and meaningful. Development of capacities to make sure participation abides by these criteria, in itself can and perhaps, should be highly empowering.

Accountability is seen as a guidance, through the human rights framework, to set responsibilities. Working on enhancing accountability means working on existing strengths and identifying gaps for capacity development.

Non-discrimination has many facets. In terms of HRBA it is a guiding principle in that it seeks identification of the most vulnerable groups, those groups whose rights are most at risk, and who are least likely to be able to claim those rights. Making it a guiding principle means that those groups must be identified and given a voice. Giving them a voice needs to be explicit in the design of any intervention, through participation. Non-discrimination also means that an intervention should not discriminate against other groups and that specifically there should be attention in research to the development of disaggregated data.

Finally, the intervention should be framed in the human rights framework. The process and result of an intervention should be guided by human rights terms and measured as such. So the focus is on enhancing the capacity to claim rights (provided by in the human rights framework) and this needs to be measured in terms of human rights.

There are many examples of application of human rights-based approaches, but there is no clear blueprint. The reason for this is that, if empowerment is to be achieved, the approach should be completely tailored to the needs of the beneficiaries. These vary from context-to-context. In terms of policy influencing interventions you can design interventions in such a way that it abides by human rights-based principles. It does require another method of work than when you undertake policy influencing yourself. For example, you may not be doing policy influencing yourself (at least together with beneficiaries) and you must include activities to empower beneficiaries. This goes beyond mere consultation of beneficiaries, which, when done well, will be enough to continue being legitimate.

## TOOL 10

### CHECKLISTS FOR CONSIDERATION OF GENDER CONSULTATION OF BENEFICIARIES

#### Gender Check List – Meetings, Implementation of training and other events

*This list was developed by the staff of the UNESCO office in Bangkok (PROAP)*

##### **Meetings, Workshops and Conferences**

###### *Preparation*

- do the terms of reference state a gender objective and gender outputs for this event?
- is there a gender balance (or critical mass) in the planning team, the participants, the speakers and the rapporteurs?
- are the facilitators/chair gender-responsive or do staff need to orient them in how to perform in a gender-responsive way? (see on the next page)
- do background materials, handouts and facilitation materials/tools highlight gender issues, avoid gender bias, and value the experience of male and female participants?
- have gender issues been mainstreamed into content and agenda?

###### *Process*

- are various methods being used to encourage all women and men to participate fully and be comfortable in the meeting/workshop/conference? Examples of working methods include: group discussions, discussions in pairs, system of rotating chair, limited speaking time per participant, to go around the table and ask each participant to say a few words, etc)
- is the gender distribution in working groups being considered within the meeting/workshop/conference? (i.e. mixed or single-sex groups)
- is anyone monitoring to ensure that the incorporation of gender issues and the participation of both men and women are happening?

*Post-event*

- do the final report/ recommendations/statements/publications fully reflect the gender issues and discussions covered in the meeting?
- does the evaluation form ask for sex-disaggregated information in order to analyze if men's and women's needs and expectations have been met?
- will any impact analysis on this event explore how female and male participants are applying the skills and content gained?

**Gender Training***Preparation and planning*

- who are the intended participants? What are the obstacles to women's equal and full participation (security considerations, financial, family life obligations, professional duties, legal constraints, moral/religious considerations etc)?
- have financial resources been foreseen to respond to these needs?
- who is the most appropriate trainer/facilitator? Should it be a woman or a man? What are the pros and cons of each? Is the trainer gender-sensitive and aware of the specific gender issues affecting the learning environment?
- is the training venue accessible, safe and adapted to women participants? (distance from home/work? Equipped to accommodate women and children under their care? conditions of female latrines?)
- is the training time adapted to women's schedule? (Does not conflict with other responsibilities, curfews, safety concerns.)
- has someone been designated to monitor the incorporation of gender equality issues in the course content and ensure that women and men equally participate in the training?

*Process*

- is the training content meaningful to women's experience?
- is the oral and written text using non-sexist language? Are images and illustrations reflecting and valuing both women's and men's experiences?
- are teaching methods and learning approaches inclusive, participatory and "gender transformatory" in order to ensure women's full and equal participation in training?
- methods that encourage equal participation include: group discussions, discussions in pairs, system of rotating chair, limited speaking time per participant, to go around the table and ask each participant to say a few words.)

- is the male/female distribution being monitored within each meeting session/ workshop/working group? (i.e. mixed or single-sex groups, as appropriate)

*Post-event*

- do the final report/ recommendations/statements/publications fully reflect the gender issues raised during the discussions?
- does the evaluation form identify the trainees' sex in order to monitor that both women's and men's needs and expectations have been met?
- will any impact analysis on this event explore how female and male participants are applying the newly acquired skills and content?

**Special events : workshops, seminars, press conferences, launchings, receptions, etc.**

- have gender equality priorities been reflected in the selection of topics and agendas for special events?
- are there consistent mechanisms in place to ensure that women and men participate equally in special events as speakers, chairpersons, decision-makers etc. and are equally consulted during preparations and follow-up?
- are all participants made aware of the gender dimensions of the special event, through f.e. background documentation, presentations, agenda-setting and through the discussions at the meeting?
- is the press routinely informed of the gender dimensions of special events?



## TOOL 11

### OTHER TOOLS FOR GENDER ANALYSIS

Many participatory tools can be adapted for gender analysis, particularly at a community level. Information generated by these tools is useful in creating a vision, design and action plan for the desired future. On the website listed below, a table illustrates adaptations of some PRA methods used by FAO for gender analysis in agricultural development planning in Nepal. The table below reflects modification of some items from the website table to make them less problem-focused and more “appreciative.” Several of these tools might be useful at various points in the life of a project.

Name of Tool	Purpose
Social and resource mapping	<ul style="list-style-type: none"> <li>Indicate spatial distribution of roads, forests, water resources, institutions;</li> <li>Identify households, their ethnic composition and other socio-economic characteristics/variables.</li> </ul>
Seasonal calendar	<ul style="list-style-type: none"> <li>Assess workload of women and men by seasonality;</li> <li>Learn cropping patterns, farming systems, gender division of labour, food scarcity, climatic conditions and so forth.</li> </ul>
Economic well being ranking	<ul style="list-style-type: none"> <li>Understand local people’s criteria of wealth;</li> <li>Identify relative wealth and the different socio-economic characteristics of households and classes.</li> </ul>
Daily activity schedule	<ul style="list-style-type: none"> <li>Identify daily patterns of activity based on gender division of labour on an hourly basis and understand how busy women and men are in a day, how long they work and when they have spare time for social and development activities.</li> </ul>
Resources analyses	<ul style="list-style-type: none"> <li>Indicate access to and control over private, community and public resources by gender.</li> </ul>
Mobility mapping	<ul style="list-style-type: none"> <li>Understand gender equities/inequities in terms of contact of men and women with the outside world;</li> <li>Plotting the frequency, distance, and purposes of mobility.</li> </ul>
Decision making matrix	<ul style="list-style-type: none"> <li>Understand decision making on farming practices by gender.</li> </ul>
Venn diagram	<ul style="list-style-type: none"> <li>Identify key actors and establishing their relationships between the village and local people.</li> </ul>
Community action plan	<ul style="list-style-type: none"> <li>Assess the extent to which women’s voices are respected when men and women sit together to work on aspects of action plans important to women;</li> <li>Understand development alternatives and options, and give opportunity to men and women to learn from each other’s experiences and knowledge.</li> </ul>

Source: <http://www.fao.org/WAICENT/FAOINFO/SUSTDEV/WPdirect/WPre0052.htm>

## TOOL 12

### TRAINING EXERCISE FOR MAPPING THE POLICY

#### PROCESS

In order to make apparent what the importance of mapping the policy process is the following exercise could be undertaken with a group of at least 7 people.

Draw a line on the floor (with tape, rope etc...).

Divide this line up in five equal parts.

Decide on an issue. For example: getting the Convention for the Protection of All Persons from Enforced Disappearances ratified in the Netherlands (the Convention has already been agreed upon in the UN).

Appoint a national NGO representative who is trying to influence the Dutch Government.

Distribute roles among the other persons, such as: civil servant in international law at the Ministry of Foreign Affairs; civil servant in international law at the Ministry of Justice, Member of Parliament of the Green Party, Member of the Senate of the Christian Democrats, Journalist of national newspaper, Minister of Justice.

Place the following five cards in order along the line: brainstorming phase; design phase; pre-decision phase; decision phase; implementation and monitoring phase.

Now let us say the UN has just adopted the Convention and it needs to be ratified by at least 20 states before entering into force. The Dutch NGO is part of a coalition of NGOs working worldwide to achieving the 20 ratifications. Your responsibility is to influence the Dutch Government to ratify.

Stand in front of the first card: brainstorming phase. Ask the group: who are the actors in this phase?

In the Netherlands this would typically be the civil servant in international law of the Ministry of Foreign Affairs. He or she is the first step towards introducing the concept of the Convention to others, mainly the Ministry of Justice in this case.

Ask the group: what type of actions do you undertake?

In the Netherlands we would try and arrange a low-level meeting, informing each other, getting to know each other, and perhaps already exchanging some points of view. In the end a request will be made to the Ministry of Justice to take up the task of investigating the possibility of ratification. However, the civil servant from the Ministry of Foreign Affairs

has some influence in terms of timing and positive point of view about ratification. Making yourself known and being able to show an understanding of CLASP principles will enhance your role and influence in the rest of the process.

Important: seek personal contact!

You can go through each phase this way looking at different scenarios. For example, in the design and pre-decision phase there may be aspects that are completely contrary to your point of view about the issue. In the case of the Convention, perhaps a decision could be in the making indicating that the Convention could be ratified, but that there would be a very narrow interpretation of the definition of enforced disappearances or reservations would be made. In that case you will have different actions with different actors than when the issue is being dealt with in the way that you want it. When you do not agree you use other actions falling under advocacy to support your lobby. For example, you may use demonstrations by families of the disappeared, petitions or articles in the newspaper.

The most important lessons from this exercise are:

- understanding there are different phases in decision-making;
- each phase has its own dynamic and different actors;
- you should try and meet and inform the actors personally;
- depending on the phase and your strategy different actions are possible;
- in many cases your policy influencing does not stop when a decision is taken;
- do not forget CLASP.

## TOOL 13

### IOM CHECKLIST

Relevant questions need to be selected and adapted based on the organisation and the issue/message concerned.

IOM Checklist	Positive (+)	Neutral (±)	Problem (-)	Unknown (?)
<b>01.0 MISSION</b>				
01.1 Is the mission clearly formulated?				
01.2 Is the mission relevant to the situation of the beneficiaries?				
01.3 Is the mission understood and accepted by stakeholders?				
01.4 Is the mission clearly supported by the staff and management?				
01.5 Is the mission adequately translated into long term objectives?				
01.6 Is the organisation legally registered?				
01.7 Does the organisation have a clear constitution?				
<b>02.0 OUTPUTS</b>				
02.1 Does the organisation offer a relevant range of products/services?				
02.2 Do the products and services adequately address the needs of the target groups?				
02.3 Are the existing products/services in line with the mission and long term objectives?				
02.4 Do products/services adequately address the different gender roles and positions of the target group?				
02.5 Is there sufficient demand for these products/services?				
02.6 Does the organisation deliver a substantial volume of outputs?				
02.7 Can the organisation meet the demand for its products/services?				
<b>03.0 INPUTS</b>				
03.1 Is there a sufficient number of staff?				
03.2 Are there sufficient skilled staff?				
03.3 Are premises and equipment adequate?				
03.4 Is the location of the premises adequate?				
03.5 Are offices and equipment adequate?				

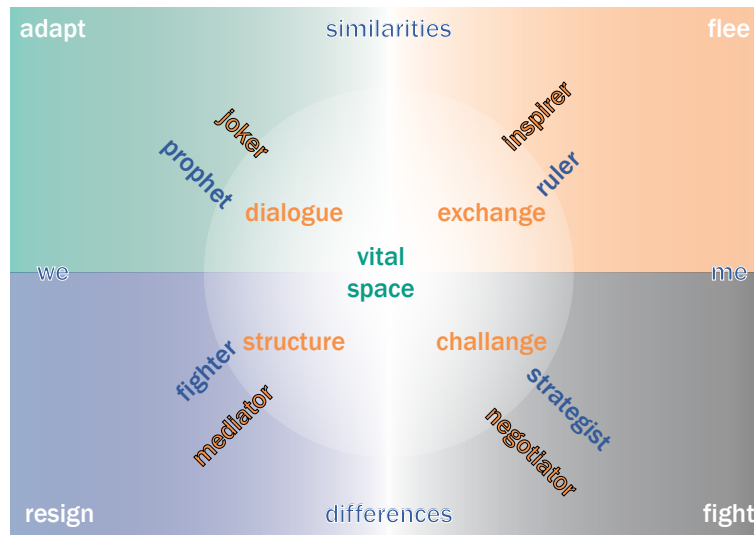
03.6	Are supplies of sufficient quality?				
03.7	Are services of third parties adequate (water, electricity, accountancy, etc.)				
03.8	Are financial means adequate?				
03.9	Is the organisation able to fulfil its short-term debts?				
03.10	Are there major financial risks and are they covered?				
03.11	Is there sufficient access to necessary information?				
03.12	Are inputs adequately utilised considering the volume and quality of outputs?				
<b>04.0</b>	<b>ACTORS</b>				
04.1	Is the target group satisfied with the quality of products and services delivered?				
04.2	Is the target group satisfied with the volume of products and services delivered?				
04.3	Is the organisation satisfied with the relations with financiers/donors?				
04.4	Are the financiers/donors satisfied with the results?				
04.5	Are relations with other agencies adequate?				
04.6	Has the organisation adequate relations with policy makers in the region and country?				
04.7	Has the organisation a good public image?				
<b>05.0</b>	<b>FACTORS</b>				
05.1	Is the socio-economic situation conducive to the performance of the organisation?				
05.2	Is the legal framework conducive to performance?				
05.3	Are socio-cultural norms and values among the target group and in society conducive to performance?				
05.4	Is the physical environment (climate, infrastructure) conducive?				
05.5	Is the political climate conducive?				
<b>06.0</b>	<b>STRATEGY</b>				
06.1	Is the strategy in line with the mission?				
06.2	Is the strategy clear and realistic?				
06.3	Is the strategy translated in a clear, realistic annual plan?				
06.4	Is the annual plan regularly monitored and adapted?				
06.5	Did the organisation realise earlier annual plans and budgets?				
06.6	Is there a clear and effective work planning?				
06.7	Is the plan of work monitored?				
06.8	Is the staff adequately involved in planning and monitoring?				
06.9	Do strategies and plans address gender differences among the staff and target groups?				

<b>07.0 STRUCTURE</b>					
07.1	Is the decision making structure based upon a clear division of responsibility?				
07.2	Is the division of tasks and responsibilities clear and understood by the staff?				
07.3	Is there a logical division in departments and units?				
07.4	Is the logistical support adequately arranged?				
07.5	Is there sufficient co-ordination between departments/units?				
07.6	Is there sufficient communication between management levels?				
07.7	Is there an adequate balance in the position of men and women in different units and levels?				
<b>08.0 SYSTEMS AND PROCESSES</b>					
08.1	Are financial/administrative procedures adequate?				
08.2	Does the organisation adhere to its procedures?				
08.3	Are working methods/approaches adequate?				
08.4	Are working methods/approaches followed by the staff?				
08.5	Is there an adequate planning system?				
08.6	Is there a good system for monitoring and evaluation?				
08.7	Are realistic monitoring indicators developed?				
08.8	Is there sufficient attention to quality control?				
08.9	Is sufficient information about performance easily available?				
08.10	Is there an adequate reporting system (financially, non-financially)?				
08.11	Is there a positive audit report on the last year?				
08.12	Are recommendations of the auditor being implemented?				
<b>09.0 STAFF</b>					
09.1	Is staff performance adequate, considering the circumstances?				
09.2	Are the staff salaries and secondary benefits adequate?				
09.3	Is the performance of staff reviewed periodically?				
09.4	Is performance adequately linked to salaries and benefits?				
09.5	Are recruitment procedures adequate?				
09.6	Is the staff turnover within normal limits?				
09.7	Are the staff adequately utilised?				
09.8	Are there adequate staff development activities?				
09.9	Do the staff have sufficient career perspectives?				
09.10	Does the staff policy adequately address gender differences?				

<b>10.0 MANAGEMENT STYLE</b>					
10.1	Is concern of management adequately divided over internal and external relations?				
10.2	Is attention of management adequately divided over quality and volume of outputs?				
10.3	Is concern of management adequately divided over people and means?				
10.4	Is concern of management adequately divided over relations with staff and task performance?				
10.5	Is there adequate balance between giving responsibilities and control?				
10.6	Are decisions taken in time?				
10.7	Are staff adequately involved in decision making?				
10.8	Are the staff adequately informed on decisions?				
<b>11.0 CULTURE</b>					
11.1	Is there an adequate balance between hierarchy and participation?				
11.2	Is there an adequate balance between attention to performance and concern for people?				
11.3	Is there an adequate balance between short and long-term thinking?				
11.4	Is there an adequate balance between risk taking and risk reduction?				
11.5	Is there an adequate balance between individual responsibility and team spirit?				
11.6	Is adequate attention paid to accountability and transparency?				
11.7	Is there adequate attention to inequalities (gender differences and minority groups)?				
11.8	Is the organisation willing to learn from its past mistakes?				

## TOOL 14

### EXERCISE – MANAGING NETWORK DYNAMICS



Circle of Coherence

#### Phase I: Exchanging

In the first quadrant members attempt to discover the benefit they can achieve from the alliance individually. They weigh up if their personal investment will have sufficient return.

A pitfall of this phase is when members withdraw too early.

- appoint a free actor with a clear facilitating role;
- offer space for all participants to express their individual expectations;
- do a network analysis (see chapter 9.2).

#### Phase II: Challenging

In the second quadrant participants are drawn towards the demarcation of the positions of the participants in relation to each other. Participants try to acquire a good position and challenge others to demonstrate their qualities. It is a very important phase, which is often skipped because of a fear of confrontation.

Pitfall of this phase is when members do not express their limits (retreat) or end up in fighting to convince each other and instead of looking complementary (battle).

A Free Actor can facilitate to avoid the members move outside the CoC with warm or cold interventions (the Negotiator and the Strategist).



- distinguish if a challenge is based on the position, or on the differences in contents opinion;
- facilitate accordingly, either on differences in contents, and/or establishment of power positions;
- consolidate on what you agree on, and what you do not agree on!

### **Phase III: Structuring**

In the third quadrant participants are more concerned with the collective task and mutual harmony than they are with themselves. Participants accept mutual differences and adopt rules to structure their interaction.

The pitfalls of this phase are when members jump too quickly to this phase (the most common) or if one actor rules control by agreements. The other members will feel ignored (resign).

A Free Actor can facilitate to avoid the members move outside of the CoC with warm or cold interventions (the Mediator or the Warrior).

- a declaration on Ethics and Code of Conduct for the network;
- create a Clearing House for positioning and its responsibilities;
- formulate a comprehensive strategy plan with differentiated donors;
- ensure sufficient Funding;
- establish selection procedures on expansion of the members.

### **Phase IV: Dialoguing**

In the fourth quadrant mutual differences are not the predominant factor. Similarities and consensus bind the members. When there is vital space, they feel a shared responsibility for the content as well as for the relationship.

Pitfalls of this phase are when members avoid addressing the differences either in contents or on the relationships because the consensus feels so comfortable. They adapt.

A Free Actor can facilitate to avoid the members move outside the CoC with warm or cold interventions (the Joker or the Prophet).

- division of roles and responsibilities while lobbying at international policy levels, and good preparation;
- continuous evaluation of single activities, and of the concerted strategy plan as a whole;
- feed yourselves with surprises – invite new views and people to challenge your own ideas and that of the group.

## TOOL 15

### FORMAT FOR DIFFERENT MESSAGE TO DIFFERENT AUDIENCES

#### *Policy Message: Audience 1*

*Audience*

*Action you want the audience to take*

*Message content*

*Format(s)*

*Messengers*

*Time and place*

*for delivery*

#### *Policy Message: Audience 2*

*Audience*

*Action you want the audience to take*

*Message content*

*Format(s)*

*Messengers*

*Time and place*

*for delivery*

SARA/AED Advocacy Training Guide 63 Developing and Delivering Policy Messages

## TOOL 16

### NEGOTIATION IN A LOBBY MEETING

The phases of negotiation here presented are based on the theory of Principled Negotiation (win-win negotiation) and the CLASP principles.

Phases of Negotiation in a Lobby meeting.

In a negotiation meeting you can distinguish 5 phases:

- **Prepare:** what do you want to get out with / what is your bottom line?
- **Debate:** present your case / pass the message
- **Propose:** use “if...then”; wait for info and answers (do not push)
- **Bargain:** be specific, check the agreed, be conditional
- **Evaluation and follow-up**

#### Phase 1 ⇨ Prepare

- decide what you want and prioritize;
- what are you “must haves” – what is your bottom line;
- anticipate the same about your target;
- anticipate what objections your target might have on your case and prepare answers.

#### Phase 2 ⇨ Debate

- present your case;
  - but don't disclose your bottom line yet;
- ask open questions; and
  - LISTEN to the answers;
- listen for signals;
  - indicating a willingness to move positions;

#### Phase 3 ⇨ Propose

- use – “If.....Then” sentences;
- start with a few points;
  - check if they agree;

- then continue with new points;
- keep quiet;
  - WAIT for responses;
- do not interrupt proposals from your target.

**Phase 4 ⇨ Bargaining**

- repeat what you agree on from your check in Phase 3;
- pick up the proposal of your target and bargain your points against that;
- do not go below your bottom line;
- records what has been agreed.

**Phase 5 ⇨ Evaluation and Follow up**

- do it outside the room or building;
- check the results with your goals and bottom line as formulated in phase 1;
- WRITE a REPORT and circulate;
- ORGANIZE a DEBRIEFING to your constituency.

# TOOL 17

## POLICY INFLUENCING ACTION PLAN

### THE ACTION PLAN

On the next pages you will find all the elements of the action plan, along with questions you must now be able to answer having gone through the different analyses:

#### CONTEXT ANALYSIS

##### 1. INTRODUCTION AND BACKGROUND

Describe the background and events that lead to the choice of solutions envisaged by you and/or your organisation/alliance – both practical as well as policy and political solutions (referred to in Chapter 4: Identifying the Policy Influencing Issue).

##### 2. POLICY ISSUE

Describe the policy issue you are working on (this can be found in your Theory of Change):

##### 3. FACTORS AND ACTORS AND YOUR ORGANISATION

Describe the *factors* and *actors* related to this *policy* issue, which explain the policy issue. Describe these in facts and figures in order to make your issue credible, legitimate and accountable.

*Useful tools are: (see Toolbox)*

- PESTLE analysis;
- SWOT analysis;
- Problem Tree.

Describe and analyse *your organisation* on the relation between the *vision*, the *mission* (what are YOU going to DO), the *strategy*, the *outcomes* and *outputs* (products and services you will deliver).

Also describe how your *internal organisation* will generate the necessary *inputs*.

And finally define *budgets*, *procedures*, *staff competencies*, and *check your management style*.

*A Useful tool is: (see IOM Checklist in Toolbox)*

IOM Analysis

## PLANNING

### 4. PARTICIPATION OF BENEFICIARIES

Describe the participation of beneficiaries and the results of this participation in planning.

- ▣ What has been the role of beneficiaries in the planning? Have they been consulted? Do they have official decision-making responsibilities? Use the participation ladder:

Planning with beneficiaries is done through:

- ▣ consulting them;
  - ▣ collaborating with them;
  - ▣ mobilising them to undertake planning themselves.
- ▣ How have you arranged participation of beneficiaries? For example, how frequently have you consulted them?
- ▣ What other activities have you undertaken to strengthen their capacities to participate in planning?
- ▣ Have you made sure that you have at least consulted all beneficiary groups such as men, women, different age groups and so on? If so, how did you make sure you got relevant information from all those groups? How was the consultation gender-sensitive?

### 5. DEFINE THE POLICY ISSUE

Describe your final analysis of the problem situation (what causes what, and a cause-effect analysis).

In this part we refer to the Theory of Change. If you have used other methodologies like the Problem or Objective Tree for the Logical Framework (LF) or Outcome Mapping (OM) you will find the terminology for those methods between brackets.

#### **ToC step 1: Clarify the ultimate goal or vision**

*(LF: impact; OM: vision)*

Describe your **vision or ultimate goal** of how the situation will be if everything you and others do to solve the problems is successful. Please do remember to make the change for the beneficiaries as concrete as possible.

#### **ToC step 2: Formulate areas of intervention or outcomes**

*(LF: objectives or outcomes; OM = Mission)*

Describe what changes are needed to achieve the vision.

#### **Make explicit what YOU are going to DO.**

These are changes that you, as an organisation, and your partners, are working on. Your programmes contribute to these changes. An outcome is formulated by concretely stating who will change what.

**ToC step 3: Create a “So That – chain” or Pathway of Change**

(LF: the branches of the problem tree; OM = Outcome Challenge Ladder)

Describe for at least one of the areas of intervention the pathway of changes needed to achieve the change on an outcome level. This can be a rough description, but should be made more detailed once you have identified the part of the chain you will be working on (see step 5 and 6).

**ToC step 4 --> Make your hypothesis explicit**

Indicate where needed why you believe changes happen in the way you indicate they happen and what you assume changes also. Be sure to agree on this at different levels of the chain.

*Make explicit why you believe a change in behaviour of a political target, which is the change you will work on, is needed.*

In the part of the chain you will work on it is crucial to make all hypotheses explicit. This will serve a monitoring purpose.

**6. DEFINITION OF THE POLICY ISSUE AND EARLY MESSAGE**

Describe what the final *policy issue* is you will be working on:

What is *your position* or early message with regard to this issue?

**7. STAKEHOLDER ANALYSIS**

Repeat the issue and early message as it is the starting point of your stakeholder analysis.

List *all* stakeholders that have a stake in the policy issue, and score them according to their *attitude, importance and influence* against your position or message.

(use the tools in chapter 8)

Present the results of the stakeholder analysis in:

- a. an audience prioritisation matrix; and/or
- b. allies and opponents matrix;
- c. the audience targeting table.
- d. indicate how you will make different stakeholders participate in planning and implementation of your intervention, using the participation ladder).
 

- in planning;	- in Implementation;
- receives information;	- receives information;
- gathers information;	- gathers information;
- consulted;	- consulted;
- collaborated with;	- collaborated with;
- mobilised to undertake planning;	- mobilised to implement themselves;

### 8. MAPPING POLICY PROCESSES

Describe the major policy processes, events and opportunities for influencing policy decisions relevant to your policy issue. Put these in the table.

Phase	Structure (where?)	Actor (who?)	Time	Action
Brainstorming				
Design				
Pre-decision				
Decision				
Implementation and monitoring				

Who is responsible for making sure actions are directed towards the right actor at the right time?  
Have you considered budgeting for this?

### STRATEGIZING

Based on your message/position, the consultation with beneficiaries, the stakeholder analysis and the mapping of the policy process:

- a. Who are your main allies?
- b. Who are your opponents?
- c. Who are your MAIN POLITICAL TARGETS? (Think of the chains of influence also)
- d. Choose the most important policy events and moments that you will focus on
- e. What will be the role of beneficiaries?
- f. Decide who you are NOT going to influence



## 9. ALLIANCE BUILDING

Based on the stakeholder analysis, describe with which partners you will be seeking to form an alliance.

*Describe how you intend to manage the alliance and network dynamics.*

### **Use the Network Analysis tool**

*Do you have a shared ambition? Who is willing to spend time, money and energy?*

*Who will be:*

- partners;
- suppliers;
- links and
- users.

## 10. CLASP PRINCIPLES – ASSESS YOURSELF and YOUR NETWORK PARTNERS

Describe how your organisation and your network score on the principles of Credibility, Legitimacy, Accountability, Service Orientedness and Power.

Since these principles determine the opinion of others about your organisation, please also describe how you would like to strengthen these principles.

You can take some of the indicators in chapter 2.

	Current situation	Desired situation	Actions to undertake
Credibility			
Legitimacy			
Accountability			
Service-orientedness			
Power			

Do you have the budget to keep the principles going and to improve them if needed?

11. FINAL ACTION PLANNING – and APPLY CLASP on this ALLIANCE ACTION PLAN

Describe your final action plan, based on the **attached template**.

This is the Finalisation of the So That – Chain based on all analyses. Put the full sequence of steps in your So That Ladder to visualize. For each step you should indicate:

- put your results / progress markers on the step, in terms of behavioural change;
- put your activities / products / services under the step;

Preparation activities:

- research and fact finding
- constituency/beneficiary participation
- alliance building and networking

Delivering products and services:

- lobbying
- communication
- campaigning

- division of tasks and responsibilities in your alliance members;
- timeline;
- resources (financial, human resources, materials);
- potential barriers;
- communications plan.

**Short term results:**

Your intervention will always start with a phase in which you engage others such as beneficiaries and allies.

Describe the steps leading to initial engagement: describe for each step which type of engagement you want to see:

**Step 1**

**Step 2**

**Step 3**

At the end of these steps is there an early encouraging response to the programme?

**Intermediate results:**

Initial engagement should change the behaviour of those you engage. They start doing things differently with a view to achieving the ultimate behavioural change you all agreed needed to happen. This is active engagement and shows true commitment. This is where political targets will start to be influenced. Describe the steps leading to the effective influencing of political targets. Those are the steps you see happening when initial engagement is converted into actions. Describe for each step the type of change you want to see per stakeholder:

**Step 4**

**Step 5**

**Step 6**

**Long-term result: behavioural change**

This is where the influence on political targets is converted into behavioural change of those targets. If your political targets are not those who need to ultimately change, then ultimately you also want to see change at the level of that target – the final step.

Describe the steps leading to the change of the final stakeholder you want to change. Describe for each step the type of change you want to see happening.

**Step 7****Step 8****Step 9****Policy Influencing Action Plan Template****Purpose:**

To create a “script” for your improvement effort and support implementation.

**Directions:**

- 1. Using this form as a template, develop a work plan for each goal identified. Modify the form as needed to fit your unique context.
- 2. Distribute copies of each work plan to the members of the collaboration.
- 3. Keep copies handy to bring to meetings to review and update regularly. You may decide to develop new work plans for new phases of your policy influencing effort.

**Policy Influencing Action Plan Template****Purpose:**

To create a “script” for your improvement effort and support implementation.

**Directions:**

- using this form as a template, develop a work plan for each goal identified. Modify the form as needed to fit your unique context;
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- keep copies handy to bring to meetings to review and update regularly. You may decide to develop new work plans for new phases of your policy influencing effort.

Goal:

Results/Accomplishments:

<p><b>“So That Chain” Strategize in Action Steps</b> What Will Be Done?</p>	<p><b>Indicators</b> How will we know it has been successful?</p>	<p><b>Responsibilities</b> Who Will Do It?</p>	<p><b>Timeline</b> By When? (Day/ Month)</p>	<p><b>Resources</b> A. Resources Available B. Resources Needed (financial, human, political and other)</p>	<p><b>Potential Barriers</b> A. What individuals or organizations might resist? B. How?</p>	<p><b>Communications Plan</b> Who is involved? What methods? How often?</p>
Step 1:				A. B.	A. B.	
Step 2:				A. B.	A. B.	
Step 3:				A. B.	A. B.	
Step 4:				A. B.	A. B.	
Step 5:				A. B.	A. B.	

**Evidence Of Success** - How will you know that you are making progress? What are your benchmarks?  
**Evaluation Process** - How will you determine that your goal has been reached? What are your measures?





## **Glossary of Key Terms**

## GLOSSARY OF KEY TERMS

**ACCOUNTABILITY** is a concept in ethics and governance with several meanings. It is often used synonymously with such concepts as responsibility, transparency, answerability, blameworthiness, liability, and other terms associated with the expectation of account-giving.

**ACTORS** entails any actor in society with an interest in a particular issue, either from the government, private sector or civil society. It can be organisations, institutions and individual persons.

**ACTIVISM** as used in the context of this Manual is a distinctive feature that entails activities directed towards third parties (e.g. the public) and may be non-violent or violent and illegal. Mostly such activities are not designed to create or propose consensus. They are set up to convince or inform others, for example to get popular support for an issue or place an issue on the agenda.

**ADVOCACY** refers to non-violent activities to influence policies, practices and behaviour. It includes lobbying (non-violent by nature) and other activities that are not lobbying, but are non-violent and considered legal.

**BEHAVIOURAL CHANGE** is the change in behaviour of your political target(s).

**BENEFICIARY PARTICIPATION** is the level of involvement of beneficiaries or citizens in the policy influencing process at all moments – the selection and definition of the issue, the analysis, the preparation, the delivery and the evaluation.

**BOUNDARY PARTNERS** is a term used in the Outcome Mapping theory for actors whom you influence in order to bring about change and changing their behaviour. (actors in the sphere of influence).

**CREDIBILITY** refers to the objective and subjective components of the believability of a source or message, also known as evidence- based advocacy, based on trustworthiness, expertise and charisma.

**COMMUNICATION** is sending a messages to, and receiving messages from different audiences.

**CONSTITUENCY** is the group of people, citizens, members, beneficiaries or board representatives that provide your mandate and gives you support when speaking out in public.

**LEGITIMACY** is the popular acceptance of a governing regime or law as an authority – it refers to a system as well as something on which consensus and acceptance is built.

**LOGICAL FRAMEWORK** is a tool for planning, monitoring and evaluation of interventions for projects and programmes, based on a context analysis.

**LOBBYING** refer to all activities designed to influence, whereby dialogue with those you want to change is central. It is consensus-driven and both parties are willing to work towards a consensus.

**OUTCOME MAPPING** is a tool for planning, monitoring and evaluation of complex changes in society involving several actors, stakeholders and beneficiaries.

**PATHWAY TO CHANGE** refers to several So-that ladders by one or more actors to achieve the wished for behavioural change.

**POLICY** is a set of factors directed or guided by the law or accepted practices (legitimate), often represented by the government, dominant power brokers or stakeholders. Such factors are not easy to change or influence. However, most policy influencing processes target such factors and actors to bring about change.

**POLITICS** is the formal forum of policy and law negotiations taking place in the political arena of a democracy like the government, the parliament, the senate, but also at the higher level of NGO's and businesses.

**POLICY INFLUENCING** refers to the deliberate and systematic process of influencing the policies, practices and behaviour of different targeted stakeholders that are most influential on the issue, involving beneficiaries and increasing their ownership and capacity on the issue. Activities can be singled out, or a mixed strategy can be applied, in which joined forces and concerted action increase the effectiveness of the policy influencing interventions.

**POLICY INFLUENCING CYCLE** based on the Project Management Cycle is used throughout the Manual to set out the steps to be taken in developing, implementing, monitoring and evaluating a policy influencing intervention. The steps are complemented by products to be developed after each step and tools and methods to undertake the step. The basic message of the cycle is that you need to plan your intervention carefully.

**POWER** is the force, the position and the energy that people have and can use to bring about change. Power can be used in a positive and a negative way. You can distinguish power over, power to, power with and power within.

**SERVICE ORIENTEDNESS** is the attitude by which you deal with other people and in policy influencing the targeted political decision makers. It means that you have to respect people, that you keep your promises, that you provide high quality inputs and that your delivery is timely.

**SO-THAT LADDER OF CHANGE** entails several steps that lead from expected change to wished for behavioural change. With every step higher up on the ladder, the predictability is less sure.

**SOCIAL MEDIA** are media for social interaction, using highly accessible and scalable communication techniques. Social media is the use of web-based and mobile technologies to turn communication into interactive dialogue like Facebook, Twitter, Blogs, Linked-In, Hyves.



**SPHERE OF CONTROL** is a term used in Outcome Mapping to describe the scope of your activities you can decide upon for yourself, your own organisation and those of your allies or like-minded organisations (your so-called Strategic Partners – see definition below).

**SPHERE OF INFLUENCE** is a term used in Outcome Mapping to describe behavioural change you and your allies (from the sphere of control) expect / like / love to create through your activities and interventions on your political targets (or so-called Boundary partners – see definition above).

**SPHERE OF IMPACT OR INTEREST** is a term used in Outcome Mapping and Theory of Change to describe the behavioural change happening at the level of the beneficiaries or end-users of decisions taken by the political targets (in the sphere of influence).

**STAKEHOLDER** refers to all actors in society from government, civil society or private sector who have an interest 'at stake' either in favour or against or neutral to your own position or opinion.

**STRATEGIC PARTNERS** is a term used in the Outcome Mapping theory for actors with whom you or your organisation collaborates, those of your allies or like-minded organisations.







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