Advocacy Sourcebook

**A Guide to advocacy for
WSSCC co-ordinators working on the WASH campaign**

December 2003

Acknowledgements

This Sourcebook has grown out of a partnership between the Water Supply and Sanitation Collaborative Council (WSSCC) and WaterAid, and builds on WaterAid's successful Advocacy Sourcebook published in 2001.

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Belinda Calaguas
Advocacy Manager
November 2001

Foreword

Out of every ten people in the world today, four do not have adequate sanitation and two don't have access to clean water. Instead women and children living in the world's poorest communities often spend hours each day walking miles to collect dirty and unsafe water and without sanitation communities are further exposed to disease and the lack of privacy required for dignity.

Diseases related to unsafe sanitation and water cause the death of a child every 15 seconds. Yet, while deadly, these diseases are easily preventable. All that is needed is clean water, sanitation and good hygiene.

And once these services are in place, with less disease and more time for education and work, communities can continue to escape the spiral of poverty. These three basic services are the building blocks of development and are a key to poverty reduction.

Because of their fundamental importance, Millennium Development Goals have been set in place by all UN Governments to halve the proportions of people without access to safe water and sanitation by 2015. While these targets are difficult, they are achievable, providing that the right steps are taken.

One such step making a huge impact is the water, sanitation and hygiene education for all (WASH) campaign which is energising practical thinking and political commitment to these basic needs. If the targets are to be achieved it is vital that issues of sustainability, affordability and equity are addressed through people centred approaches. This is exactly what WASH is seeking to do: put people's initiative and capacity for self-reliance at the centre of achieving the water and sanitation targets.

This sourcebook aims to compliment this approach. It offers practical guidance on advocacy work related to water and sanitation and is a useful resource for anyone working involved in WASH who wants to undertake advocacy work. It aims to explain the different advocacy tools, provide practical examples of advocacy work, and provide information on key policy actors and processes and how to influence them at local, national and international levels.

Ultimately it enables people to mobilise support for WASH to ensure that the ethos behind it – that of water, sanitation and hygiene for all – becomes closer to being a reality.

Ravi Narayanan, Director of WaterAid

Gourisankar Ghosh, Executive Director of WSSCC

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Preface

The WASH Campaign – Water, Sanitation and Hygiene for All – is a vehicle by which the Water Supply and Sanitation Collaborative Council can promote priority themes and activities, and achieve the objectives of Vision 21. The concept of WASH as a brand for a campaign was developed in a meeting of Communication experts at WaterAid's London office in 2001 at the initiative of Eirah Gorre-Dale of WSSCC. The WASH campaign was then launched at the International Conference on Freshwater in December 2001 in Bonn, Germany. The aim of this Sourcebook is to help to take the WASH Campaign forward, in particular at national level, focusing in particular on advocacy for policy change.

The Sourcebook is divided into four sections. Section 1 is an introduction to advocacy work, and considers what is advocacy, the reasons for engaging in advocacy work and some of the issues surrounding advocacy. The section closes with an outline of some common concerns about advocacy work. Section 2 focuses on how to undertake advocacy work, outlining the planning process and describing the various tools and approaches which can be used. Section 3 discusses the links between advocacy and project/programme work in the field and issues of capacity building, while Section 4 lists some of the available resources, publications, networks and other organisations involved in advocacy work and describes some of the key policy actors and processes in the freshwater sector.

A number of useful advocacy guides and manuals have been produced in recent years by civil society and other organisations. Rather than trying to 're-invent the wheel', this Sourcebook has drawn on these publications whenever possible, particularly with regard to the planning of advocacy work. They are referenced in the text and a full bibliography is given at the end of the Sourcebook. Section 4 also includes a list of suggested further reading on different aspects of advocacy work.

Case studies

Cross-references to other relevant sections are marked in the text by the symbol =>. With the exception of Section 2, the sub-sections are designed as stand-alone chapters, so the Sourcebook can be dipped into in any order. Section 2 follows the steps of the planning process outlined at the beginning of Section 2.1 and will therefore be most useful if read in order.

Tools

Case studies, providing examples of advocacy activities, are presented throughout the text in light shaded boxes, while tools and suggested methods for planning and carrying out advocacy work are presented in dark shaded boxes, thus:

Introduction to Advocacy

1.1 What is advocacy?

The word advocacy has its origins in law and is defined by most dictionaries as the process of 'speaking on behalf of someone'. Today it has evolved to include work undertaken by development agencies, civil society groups and individuals to bring about change. Advocacy has been defined as: *the process of managing information and knowledge strategically to change and/or influence policies and practices that affect the lives of people (particularly the disadvantaged)*[1]. Another definition calls it *'advocating on behalf of the voiceless'.*[2]

Advocacy therefore encompasses a range of activities, all focusing on a process of change. This change may be in any one of several areas:

- in attitudes and political will
- in policy/decision-making
- in policy implementation
- in people's awareness of policies
- in monitoring policy implementation[3]

For example, advocacy work could be undertaken to change the policy of a national government to take greater account of communities' rights to participate in the management of their water supply and sanitation services. In another case, such a policy may exist but government agencies may not be implementing it, a situation again requiring a process of change brought about by advocacy work. In yet another case, local communities may not be aware of a change in policy and therefore may not be claiming the rights to which they are entitled, in which case advocacy work could be directed at changing levels of understanding about existing policy. This process of change which advocacy aims to bring about can occur at different levels, from the local community level to the national and international. Change at one level may be necessary for change at another. For example, influence on national government policies comes both from within a country and from external sources such as international funding bodies. Advocacy work therefore needs to take place at both the national and international level in order to achieve change in national government policy. In some cases, a groundswell of change at the local level may lead to a corresponding change in policy at national level.

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

- **who** makes the decisions: participation of civil society, representation of community
- **what** is decided: legislation, policies, budgets, programmes
- **how** is it decided: accountability and transparency; participation of civil society
- **how** is it enforced or implemented: accountability, awareness raising[4]

An important aspect of advocacy work is the involvement of communities themselves in advocating for change. Advocacy work can

1 Participants at the WASH Partnership Workshop, Geneva 28.20.02–1.11.02
2 Global Women in Politics 1997, p9
3 WASH Partnership Workshop, Geneva, 28.10.02– 1.11.02
4 Veneklasen 1997

therefore be defined as not only bringing about change in policies and programmes (the '**policy dimension**'), but also:

▶ strengthening the capacity, organisation and power of civil society and its involvement in decision-making (the '**civil society dimension**')

▶ increasing the legitimacy of civil society participation and improving the accountability of public institutions (the '**democratic space dimension**')

▶ improving the material situation of the poor and expanding people's self-awareness as citizens with responsibilities and rights (the '**individual gain dimension**')[5]

Advocacy seeks to build alliances in order to change the processes of decision-making at all levels and the involvement of communities in those decisions. Effective advocacy should therefore include not only the promotion of positive water supply, sanitation and hygiene initiatives ('good practice' advocacy) but also all four of the dimensions described above, if it is to begin to address the policies and practices that perpetuate poverty and inequitable access to resources.

1.2 The need for advocacy on water supply and sanitation

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

'Global freshwater consumption rose six fold between 1900 and 1995 – more than twice the rate of population growth – and the rate of increase of consumption is still growing … The Stockholm Environment Institute has estimated that… the proportion of the world's population living in countries of significant water stress[6] will increase from approximately 34% in 1995 to 63% in 2025. Those living in poorer countries in Asia and Africa, with low and unreliable rainfall and high levels of utilisation of the total water resource, will be most at risk of water stress impacting severely on their lives and livelihoods'.[7]

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

'The water crisis is mainly a crisis of governance. The present threat to water security lies in the failure of societies to respond to the challenge of reconciling the various needs for and uses of water. The Vision [for Water Security in the 21st Century] can only be achieved if the institutions that determine the management and use of water resources are effective'.[8]

Water and sanitation are key areas of concern. Some 1.1 billion people (a sixth of the

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5 WaterAid 2000b
6 Significant water stress is defined as withdrawals greater than 20% of the available freshwater resources in a country.
7 Department for International Development 2001, p11–12
8 Global Water Partnership 2000

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

This crisis in water and sanitation has a catastrophic impact on many aspects of life for the poor:

- health: more than 2.2 million people in developing countries, most of them children, die each year from diseases associated with lack of access to safe drinking water, inadequate sanitation and poor hygiene[9]
- education: poor sanitation in schools affects attendance rates, particularly of girls
- women: it is estimated that over 10 million person-years are spent by women and female children carrying water from distant sources every year[10]
- economics: national economies are weakened by the need to spend significant funds on health care and medicines, while many working days are lost to ill-health resulting from poor water and inadequate sanitation

Within the water sector it has not always been recognised that benefits from improved water supply can only be fully exploited when sanitation is improved and hygiene promoted at the same time. Investments in water quality and quantity can reduce deaths caused by diarrhoea by 17 per cent, but sanitation can

reduce it by 36 per cent and hygiene by 33 per cent.[11] This lack of recognition was reflected in the absence of a target for sanitation among the Millennium Development Goals, to match the water target.

However, following concerted efforts by water and sanitation activists from around the world, including the WASH Campaign, a target for sanitation was finally agreed at the World Summit on Sustainable Development in Johannesburg in September 2002. Whilst this commitment is a major step forward in tackling the global crisis in water supply and sanitation, the challenge remains for governments and international agencies to commit the necessary time and resources to meeting both the water and the sanitation targets. It is already acknowledged that *'at the present rate of investment, universal access to safe drinking water cannot reasonably be anticipated before 2050 in Africa, 2025 in Asia and 2040 in Latin America and the Caribbean.'* Without political will and significant commitments, the targets will remain distant unreachable goals.

In addition to the lack of political will, there are a number of key issues that have hindered effective developments in the water and sanitation sector in the past and will continue to hamper the achievement of these targets in the future:[12]

Capacity

There is limited capacity for planning and implementing water service developments in a sustainable way. In many countries, decentralisation policies have left regional or district authorities with the responsibility for water and sanitation service provision and development, which they have neither the capacity to manage, nor the financial resources to undertake. The policy currently being implemented

9 Johannesburg Summit 2002
10 Johannesburg Summit 2002
11 Water Supply and Sanitation Collaborative Council 2002b
12 These issues are taken from Tearfund 2001, Department for International Development 2001, Global Water Partnership 2000, WaterAid Madagascar 2000, WaterAid Tanzania 2000, and WaterAid Zambia 2000

in many countries, of letting the private sector take over management and operations of water supply and sanitation services does not always take into account the capacity of the private sector, particularly in remote or rural areas, to absorb these functions and responsibilities, nor of the public sector's capacity to regulate and monitor.

Participation

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

Investment

Many sources agree that there has been insufficient investment in the freshwater sector, with the resulting downward spiral: low cost recovery leads to insufficient income, which leads to low investment, which leads to poor service, which leads back to insufficient income.[13] However apart from attempts to mobilise international private investments and development assistance, there is now a growing consensus favourable to full cost-recovery for water supply and sewerage services. How this is to be achieved, and what consequences it will have, especially on the poorer sections of society, needs to be well understood.

Range of actors in the sector

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

The shortage of the resource and the need for management

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

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13 Department for International Development 2001, p19

1.3 The WASH Campaign

In 1997, the Water Supply and Sanitation Collaborative Council was asked to develop and guide a visionary process, involving stakeholders around the world that would lead to the development of a vision for water and sanitation in the next century. This vision became known as Vision 21, and was presented at the Second World Water Forum in The Hague in March 2000. The report summarises this vision thus:

'The year is 2025. Almost every man, woman and child on the planet knows the importance of hygiene and enjoys safe and adequate water and sanitation. People work closely with local governments and non-governmental organisations to manage water and sanitation systems so as to meet basic needs while protecting the environment. People contribute to these services according to the level of service they want and are willing to pay for. Everywhere in the world, people live in clean and healthy environments. Communities and governments benefit from the resulting improved health and the related economic development.' [14]

The essence of Vision 21 is putting people's initiative and capacity for self-reliance at the centre of planning and action. Its foundation is the recognition of water and sanitation as basic human rights, and of hygiene as a prerequisite.

At the end of 2000, the WSSCC organised its 5th Global Forum, in Foz do Iguaçu, Brazil. This Forum was built around the theme 'From Vi-

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Vision 21

The four decisive components that determine the VISION 21 approach are:
▸ Building on people's energy and creativity at all levels, requiring empowerment and building the capacity of people in households and communities to take action, and applying technologies that respond to actual needs.
▸ A holistic approach, acknowledging hygiene, water and sanitation as a human right, and relating them to human development, the elimination of poverty, environmental sustainability and the integrated management of water resources.
▸ Committed and compassionate leadership and good governance, changing long-accustomed roles, leading to new responsibilities of authorities and institutions to support households and communities in the management of their hygiene, water and sanitation, and in being accountable to users as clients.
▸ Synergy among all partners, encouraging shared commitment among users, politicians and professionals, requiring professionals within the water and sanitation sector to combine technical expertise with an ability to work with users and politicians and with the sectors of health, education, environment, community development and food.

14 Water Supply and Sanitation Collaborative Council 2000

sion to Action'. Members of the WSSCC and other conference participants developed an action plan that would facilitate the implementation of the different parts of Vision 21. This action plan became known as the Iguaçu Action Programme (IAP) and was intended to serve as a framework for local level action for the Regional and National Co-ordinators of the WSSCC.

The IAP focuses on four key themes and four priority activities:

Themes:
• hygiene promotion
• environmental sanitation
• institutional and management reform
• community-based approaches

Activities:
• advocacy and mobilisation
• networking
• working with partners
• dissemination of knowledge and best practice[15]

In order to provide space for the first activity, advocacy and mobilisation, the WASH Campaign was established. The WASH Campaign is intended to act as a vehicle by which WSSCC can promote priority themes and activities, and to achieve the objectives of Vision 21. The WASH Campaign also helps to raise the profile of the Council as a whole. The links between Vision 21, the IAP and the WASH Campaign are summarised in the following diagram:[16]

The WASH Campaign was introduced by the WSSCC at the International Conference on Freshwater in Bonn, Germany in December 2001. Working with governments, civil society organisations, community groups and other stakeholders, the WASH Campaign focused

inter alia on promoting the adoption of a sanitation target at the World Summit on Sustainable Development in Johannesburg in 2002. Its activities centred on obtaining high-level political support at international level, together with national activities to raise awareness about the importance of sanitation, hygiene and water supply. With the achievement of the target, WASH now faces the even greater challenge of making the target on sanitation – and that on water – a reality. The focus of the campaign has now shifted to the country level, although international level advocacy efforts still continue.

WASH aims to: *raise the commitment of political and social leaders to achieving these goals [of making water, sanitation and hygiene a reality for all] and effecting the necessary behavioural changes through various information and communication channels, using traditional and mass media, hygiene promotion in schools, training and building local capacity in communications and improving networking and research.*

The WASH Campaign thus encompasses social education (for example promoting good hygiene behaviour among community members and raising awareness of the need for – and creating demand for – sanitation services) and social mobilisation (creating the demand for policy change), as well as advocacy for policy change. The aim of this Sourcebook is to help to take the WASH Campaign forward, in particular at national level, focusing in particular on advocacy for policy change, as defined in Section 1.1 above. Additional resources and sources of further information for hygiene promotion and awareness rising are listed in the Resources section at the end of this book.
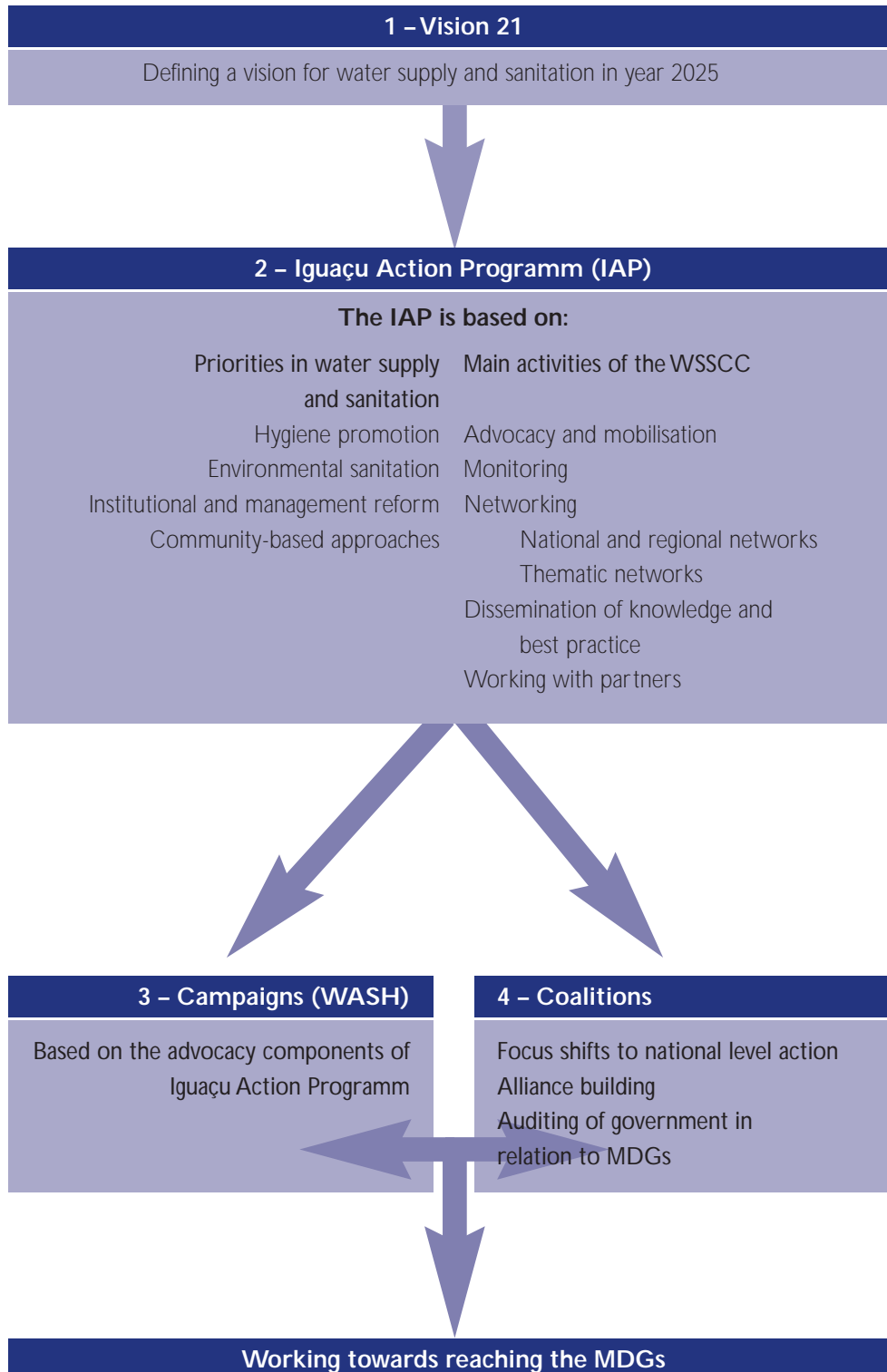
Since 1997, there have been four major programmes of activity:

1 – The Vision 21 process was a major participatory exercise conducted by WSSCC, for the 2nd World Water Forum, (The Hague, 2000), which led to the publication of Vision 21: The People's Route to Water, Sanitation and Hygiene for All.

2 – Based on Vision 21 principles, the Iguaçu Action Programme (IAP) provided the mandate and programme for action of the Council for 2000–2005.

1 – Vision 21
Defining a vision for water supply and sanitation in year 2025

2 – Iguaçu Action Programm (IAP)
The IAP is based on:

Priorities in water supply and sanitation

Hygiene promotion
Environmental sanitation
Institutional and management reform
Community-based approaches

Main activities of the WSSCC

Advocacy and mobilisation
Monitoring
Networking
　　National and regional networks
　　Thematic networks
Dissemination of knowledge and
　　best practice
Working with partners

3 – Campaigns (WASH)	4 – Coalitions
Based on the advocacy components of Iguaçu Action Programm	Focus shifts to national level action Alliance building Auditing of government in relation to MDGs

3 – Emerging from the IAP's emphasis on advocacy and communications, the WASH campaign was developed and implemented internationally and nationally.

4 – Linked to both the IAP and the WASH campaign, the current emphasis is to build coalitions of action focusing on the MDGs at country and international levels.

Working towards reaching the MDGs

1.4 Rooted advocacy and the question of legitimacy

In response to the increasing involvement of civil society in advocacy work – on any issue, not just water and sanitation – some critics have raised concerns about legitimacy, particularly with regard to those in the North advocating on behalf of people in the South. These concerns spring from recognition of the potential danger for those engaged in advocacy to make claims on behalf of others, which they cannot substantiate.[17]

Although such concerns are valid, they should not deter civil society and individuals from engaging in advocacy. The challenge for advocacy practitioners is to be able to respond to these concerns and satisfy themselves and others that they do have legitimacy on the issue on which they are taking a stand. Hudson suggests that organisations focus on accountability 'downwards' to communities, and not just – as is most common – 'upwards' to managers and donors. He calls these links 'legitimacy chains' and suggests that a two-way process can be fruitful: *'trying to look outwards and upwards from the Southern grassroots to broader debates, and trying to think downwards from policy issues back towards Southern experience'*.[18] This suggests a symbiotic relationship between policy and grassroots work, in which each side is enriched through contact with the other.

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

- On whose behalf are we speaking?
- On what authority or basis are we speaking?
- Who grants us the authority or right to speak?
- How is this authority granted?
- How can we increase our legitimacy?[19]

These questions apply to any group, organisation or individuals that are engaged in advocacy. Some civil society organisations such as NGOs claim their legitimacy through their involvement in project work. Other bases for legitimacy include: basic rights and values; organisational structure; alliances and networks; knowledge and research[20]. For those involved in project work with partners and grassroots communities, their direct experience often throws up issues and concerns that feed into the policy debate. Projects may serve as examples of good practice, and may be supported by further research and analysis at national or international level, or project level needs assessments and baseline surveys may generate policy concerns directly affecting the lives of project beneficiaries.

Whatever the impetus for advocacy, the need to be able to prove the legitimacy 'chain' still applies, and has led to a call for what has been termed 'rooted advocacy'. This has been defined as advocacy work which is *'rooted in the experience of primary stakeholders and which enables those stakeholders to analyse and understand their experience and to engage in the influencing process'*.[21] This definition brings into the advocacy process the concept of empowerment, suggesting that advocacy

17 Hudson 2001
18 Ibid.
19 Miller and Covey 1997
20 Chapman and Fisher 1999
21 WaterAid 2000a

work should involve local communities as much as possible and empower them in the process, in the same way that practical project work aims to do. This was echoed at an advocacy training workshop: when one group defined advocacy work as 'to advocate on behalf of the voiceless', others responded with the definition that *'advocacy is organising the voiceless so they can use their own words'.*[22]

The concept of empowerment is an integral part of Vision 21: *the essence of Vision 21 is to put people's initiative and capacity for self-reliance at the centre of planning and action.*[23] This selfreliance extends to advocacy activities. Our advocacy work should therefore be:

▸ (at least) informed by the people on whose behalf we are advocating
▸ (at best) contributing to those people becoming advocates on their own behalf, through enabling them to analyse and understand their own experiences and engage in the influencing process[24]

1.5 Common questions and concerns about advocacy work

This section outlines some of the questions and concerns which civil society organisations may have about becoming involved in advocacy work, and presents some brief answers, together with references to other Sections of this Sourcebook for further information.[25]

How can national and international advocacy work be linked?

This question reflects some of the concerns of those in the field about advocacy undertaken in the North or at the international level. The legitimacy chains mentioned in Section 1.4 above are vital to ensure that advocacy work remains rooted in the needs and interests of grassroots communities. The relationship should be a symbiotic one in which there is a two-way flow of information and policy concerns. There may be times, for example, when a policy issue that is currently on the international agenda can be fed to the project/grassroots level for action, as well as advocacy topics moving in the other direction from the grassroots to the international level. Civil society organisations in the North and the South each have a particular audience that they can influence and a group of stakeholders to which they have access. In the South, these include national governments, regional offices of international donors and local communities. Northern-based organisations have access to international donors and policy institutions, northern governments with aid programmes in the South, and northern media, politicians and opinion formers who play a role in influencing policy makers. Collaborative advocacy between local, national and international level groups can link the comparative advantages of those in the North and those in the South to have the greatest impact. The global structure of WSSCC regional and national co-ordinators provides a useful framework for linking advocacy at different levels.

22 Global Women in Politics 1997, p9.
23 Water Supply and Sanitation Collaborative Council 2000
24 Participants at the WASH Partnership Workshop, Geneva, 28.10.02–1.11.02
25 The first four points were raised by WaterAid Country Programme staff; the second four are taken from Tearfund's Advocacy Study Pack (Atkins and Gordon 1999).

26 For example, in Ethiopia, village
members from the WaterAid-
supported Hitosa Water Pro-
ject assisted members of an-
other village, Robe-Maliyu, to
lobby their local government to
win approval for their own
water supply project.

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

Assessing the impact of advocacy work is perhaps more daunting than evaluating the effect of field programmes, particularly compared to technical activities that may easily lend themselves to quantitative analysis. Nevertheless, there are a number of techniques and approaches that can be used to monitor and evaluate advocacy activities, see Section 2.12 below.

How do local communities fit in to advocacy work?

Local communities are central to advocacy work as key actors, and as sources of information and analysis. Community members are often the most powerful advocates on issues that affect them because they can speak with direct experience of the issue and its consequences. They can be involved as direct actors, lobbying their local government, for example, and in capacity building, encouraging other local communities to take action themselves.[26] Local communities' role in advocacy at national and international level appears at first sight to be less obvious. However, if our advocacy work is to be 'rooted', as discussed above, the communities on whose behalf we are acting should be empowered in the process. At the very least, these communities should be aware of the advocacy carried out on their behalf; at best, they can be actively involved in a range of activities, from prioritising issues to participating in national and regional meetings. The questions on legitimacy listed in Section 1.4 provide some pointers for this involvement.

Where can we get support for our advocacy work?

There is an increasing number of organisations engaging in advocacy work, and a growing number of resources, training manuals and guides on how to do advocacy. Working in alliance with others on a particular advocacy activity can be a source of support, while many international civil society organisations have dedicated advocacy staff members who can provide support to development workers and partners in the field. Section 4 provides some pointers for further reading, networks, contacts and other resources.

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

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

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

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

Advocacy is confrontational

There is a wide range of approaches to advocacy work. The choice of approach depends on the issue, the advocacy 'targets' and the best way of achieving change in that context. In some cases, there may be one or two officials within a 'target' institution who are already sympathetic to the advocacy cause, and who need only support and well-researched

information in order to take the case forward. In other cases, a more focused demonstration of public concern may be required to achieve the desired policy change. We need to distinguish between raising topics that may be considered by some stakeholders to be unpopular on the one hand, and aggressive direct action – i.e. confrontation – on the other.

What about the dangers of speaking out?

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

Advocacy is political

According to the definitions of advocacy in Section 1.1 above, it is clear that advocacy is all about change, and in most cases, that change will involve a shift in power. Issues of power and politics are therefore inextricably linked to advocacy work. If we are to tackle the root causes why so many millions of people lack access to adequate water supply and sanitation, we need to understand the political and economic context in which sectoral policies are drawn up and the power relationships which affect them. However, this does not mean that advocacy workers should be involved in 'party politics' (association with any one political party or group) – on the

contrary, advocacy workers should ensure that they are not linked to a particular political grouping, to avoid accusations of partisanship undermining their advocacy position.

What is the difference between advocacy and campaigns?

Advocacy is a way of working to change policies and practice to improve the lives of the disadvantaged and includes a range of tools, many of which are described in this Sourcebook. A campaign is a specific plan for advocacy action, focusing on a particular issue or concern, with a limited time-span.

What is the difference between advocacy and social education?

As described above, advocacy involves changes in policy and practice with regard to the decisions that affect disadvantaged people. In the water and sanitation sector this may include budget and financial policy, technical decision-making, civil society or beneficiary involvement in water and sanitation policy, amongst other issues. Social education involves increasing awareness among the user communities of the importance of sanitation or good hygiene behaviour for example. Whilst social education and awareness campaigns are important in the fight for water, sanitation and hygiene for all, they are not strictly speaking advocacy activities and as such do not form part of the remit of this Sourcebook. However, lobbying government to persuade them of the importance of hygiene education in schools, for example – as opposed to doing the promotion itself – can be considered an advocacy activity, as it focuses on changing the policy and practice of decision-makers.

Section 2

How to do it

2.1 Where to start? The advocacy planning cycle

Drawing up a plan for advocacy work is similar to any other project or programme planning. We need to work out what our objectives are and how we can achieve them; to define what activities we want to undertake; and assign responsibilities for the tasks involved. Good planning is essential for effective advocacy work, as it is for any other activity. Planning and implementing advocacy work involves the following steps, the *advocacy planning cycle:*

Draw up **Advocacy Plan**

Plan for **Monitoring & Evaluation**

Assess **Resources** needed

Select **Tools**

Coose **Approaches & Activities**

Define the **Message**

Identify **Allies**

Identify **Targets**

Setting **Objectives**

Analysis

Identify the **Issues**
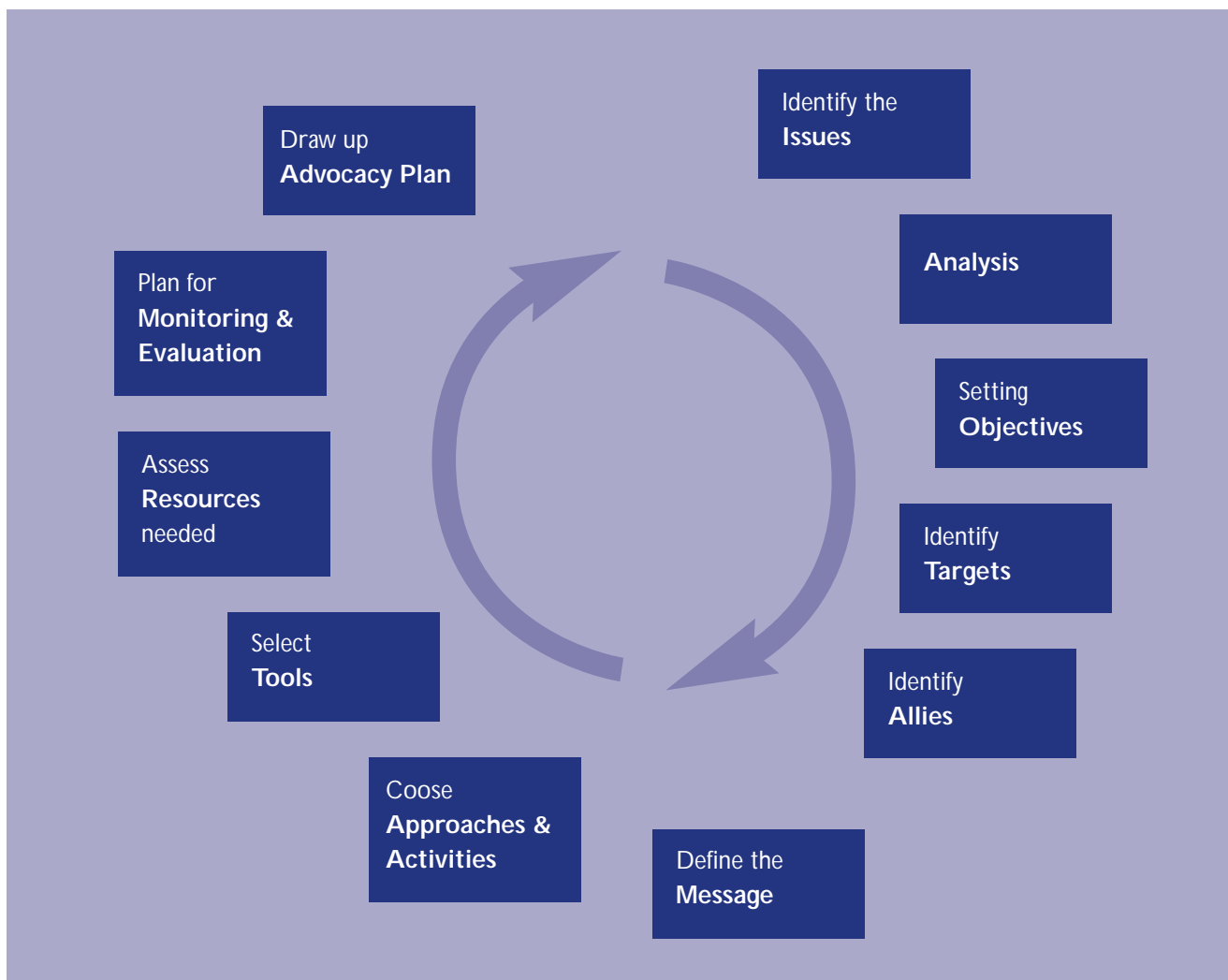
▸ Identifying the **issues**: what do we want to change?

▸ Finding out more through **analysis**: analysing the issue; analysing the context and key actors; understanding the time frame

▸ Setting **objectives**

▸ Identifying the **targets**: who do we want to influence?

▸ Identifying **allies**: who can we work with?

▸ Defining the **message**

▸ Choosing advocacy **approaches** and **activities**

▸ Selecting **tools**

▸ Assessing what **resources** are needed

▸ Planning for **monitoring** and **evaluation**

▸ Drawing up an **advocacy plan**

To plan your advocacy, you need to work through each of these steps. When you have completed them, you will be able to draw up an advocacy plan.

The following sub-sections of this Sourcebook discuss each of these steps, one by one. The steps make up a planning 'cycle' because it should be an iterative process: ongoing monitoring and periodic reviews of progress lead to adjustments in the plan, to take into account any changes in external or internal circumstances.

2.2 What do we want to change? Identifying the issues

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

• result in real improvement in people's lives
• give people a sense of their own power
• be widely and deeply felt
• build lasting organisation and alliances
• provide opportunities for women and others to learn about and be involved in politics

• develop new leaders
• promote awareness of and respect for rights
• have a clear target, time frame, and policy solution
• link local concerns with macro-policy/global issues
• provide potential for raising funds
• enable the organisation to further its vision and mission
• be winnable[27]

Within the water and sanitation sector there are many issues of concern, as outlined in Section 1.2 above. However, advocacy cannot hope to tackle all of them at once and hence it is important to select the most important and relevant issues for your country or region when drawing up your advocacy plan.

27 Veneklasen 2002

The Iguaçu Action Programme outlines the four priority issues selected by the WSSCC for future action, which can form the basis of WASH advocacy activities:

1. Hygiene promotion
2. Environmental sanitation
3. Institutional and management reform in water supply and sanitation (including public-private partnerships and the adoption of a code of ethics and rights)
4. Community-based approaches to water supply and sanitation (including participatory and social marketing methods)[28]

Initial research and analysis will help you to determine which are the most significant and timely water supply, sanitation and hygiene issues in your country or region at this point in time. It is important to select only one or two issues to focus your advocacy work on. It is better to advocate on a few issues thoroughly, with well-researched information to back up your case, than to spread yourself too thinly and have insufficient data on a wide range of topics.

Issues in sanitation in Africa

The AfricaSan Conference (held in Johannesburg in July 2002) called for Africa's political and social leaders to take the following actions:

▸ develop and strengthen clear national policies for sanitation and hygiene, as integral parts of national strategies for sustainable development and poverty reduction

▸ set national sanitation and hygiene goals and targets, including incremental targets and milestones; develop realistic action plans and budgets to achieve your goals; monitor progress towards those goals

▸ prioritise government sanitation expenditure on the areas for which households and others cannot or will not pay, for example: hygiene promotion and awareness creation, sanitation and hygiene in schools and other public places, targeted latrine subsidies for the poorest people

▸ clarify departmental leadership on sanitation and hygiene, and create the legislative and regulatory framework for all the concerned government departments and other organisations to work effectively

▸ raise the profile of sanitation and hygiene in your country, for example by supporting a national WASH Campaign

▸ press for a global sanitation target, i.e. to halve the numbers of people without improved sanitation by 2015, through international fora such as the World Summit on Sustainable Development in Johannesburg, the 3rd World Water Forum in Kyoto, Japan, and the WSSCC's sixth Global Forum in Dakar, Senegal in 2004[29]

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28 Water Supply and Sanitation Collaborative Council 2001

29 WSSCC/Water and Sanitation Program? Department of Water Affairs and Forestry, Republic of South Africa Press Release: "AfricaSan Conference Calls on World Leaders to Save Thousands of Lives through Better Sanitation and Hygiene", 1 August 2002.

Gender issues in water supply, sanitation and hygiene

Women comprise the largest category of water-users in the world. Many women-hours and child-hours are lost every year to the drudgery of carrying water for long distances or looking for far away places for sanitation. Women's health is severely affected, and so is their ability to take advantage of educational and training opportunities that can help them combat poverty. Women are responsible for the hygiene of the family, and are the main beneficiaries of improved latrine use and hygiene promotion close to the home.

Efforts to attain sustainable development will never succeed if the needs of all water users are not addressed. This includes female-headed households (numbers are rising in many parts of the world), women involved in agriculture and food production, and those running small businesses. Research from the Gender and Water Alliance has shown that effective, efficient and equitable management of available water is only achieved when both women and men are involved in making decisions on how to best share, supply and protect water.

The Gender and Water Alliance suggests the following essential steps to take gender issues into account in water supply, sanitation and hygiene promotion, which could form the basis of an advocacy campaign on gender within the sector:

▶ laws and policies relating to water should be revised where necessary to give men and women independent rights to land, water, property and inheritance
▶ a male-female perspective should be included systematically in the development of all national/regional policies and programmes
▶ effective representation of women in all water management organisations, from the community to the basin level
▶ gender disaggregation of information and knowledge sharing
▶ inclusion of gender trained staff and long-term, gender sensitisation programmes at all levels
▶ increased budgetary allocations to social aspects within environmental protection and water management[30]

30 The Gender and Water Alliance: www.genderandwater-alliance.org

2.3 Finding out more: analysis

All writings on planning advocacy stress the importance of researching the advocacy issue before taking action, to increase efficiency, avoid embarrassing or politically damaging mistakes and help target effort and resources most effectively. One report notes that *'NGOs have been accused of missing opportunities by submitting evidence which is poorly researched, vague and focused on NGO funding'*[31]. Another writer points out that thorough research and documentation are also necessary if 'credible alternatives' are to be presented as part of the advocacy process.[32]

'No matter how committed you are, or how much you think you know, before you launch any campaign, research the subject thoroughly from A to Z. You cannot lose by this, and you can gain in four ways. First, if there is any possibility that you are wrong, your research may save you a lot of energy and heartache. Second, if you are right, it will throw up a considerable amount of additional information and strengthen your case. Third, the research will help you to define the possible solutions and to define your objectives and priorities. Fourth, the research will make you impregnable when you launch the campaign and the opposition opens fire. You have to be able to answer every question, be right on every detail, have anticipated every thrust of the other side – the research will help you do all this.'[33]

Many people are put off or daunted by the idea of carrying out research: however many of us are in fact already engaged in research without realising it – we just need to learn to document and analyse it in a systematic way.

The box later on in this section gives some tips and guidelines on research.

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

2.3.1 Analysing the issue
The Save the Children advocacy handbook emphasises the importance of a thorough understanding of the issue before embarking on advocacy work: *'as soon as the problem [or issue] has been defined, people may have immediate ideas about how to solve the problem through advocacy. The temptation is to move straight away to work on the basis of those ideas, to get moving as quickly as possible. But these initiatives need to be channelled into a coherent framework, developing further advocacy solutions along the way, so that you end up with a strategic advocacy programme where all the activities complement each other, directed towards a common purpose'.*[34] A detailed understanding of the issue is therefore a vital stage in advocacy planning.

When gathering research data in order to make your advocacy case, it is important to differentiate between the different sections and strata of the society you are describing. The impact of deficiencies in water supply, sanitation and hygiene services in any community will vary depending on age, social status and gender, for example. Any data you collect should therefore be broken down according to the relevant categories, in order to

31 Chapman and Fisher 1999
32 Edwards and Hulme 1992, p211
33 Wilson 1993
34 Save the Children Fund 2000, p16

present the most accurate picture and to enable you to target you advocacy efforts more specifically towards policies and decision-making processes that will have the most impact on the disadvantaged.

The following two boxes give examples of two possible tools that advocacy teams may use when carrying out an initial analysis of the advocacy issue they wish to pursue. These participatory exercises can help the team to understand the complexities of the issue and help to highlight which areas will need to be researched in depth. This in-depth research may then take the form of secondary data collection (e.g. a review of existing literature on the subject) and/or primary data collection (e.g. a field survey). The third box below gives some tips and guidance on carrying out research, particularly in the field.

Analysing the issue: the problem analysis framework[35]

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

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

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

The *causes* of a problem may be economic, social/cultural, technical or political, or a combination of these.

It is particularly important to assess the underlying **root causes** of a problem or issue. For example, if the selected advocacy issue is access to drinking water supplies in a rural region, an initial analysis of the cause may focus on the insufficient number of boreholes in rural communities. However, a deeper analysis of the causes of the problem should also consider **why** there are insufficient boreholes in the area: there may be issues of ethnic bias, of politically-motivated funding decisions, of gender bias and so on. Even deeper analysis may reveal structural constraints such as the debt burden on the national economy preventing sufficient spending on rural water supply, and so on. The repeated asking of the question *why?* helps in this process of digging deeper to provide a full analysis of the problem.

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

35 Miller and Covey 1997

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

Problem tree

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

Step 1: write the main problem/concern in the centre of a large sheet of flip chart

Step 2: using arrows as in a flow chart, add the causes of the main problem onto the chart below the main problem, with arrows leading to the problem

Step 3: for each of the causes, write the factors that lead to them, again using arrows to show how each one contributes

Step 4: draw arrows leading upwards from the main problem to the various results/consequences of that problem

Step 5: for each of these results, add any further consequences

Step 6: keep adding causes and results, with arrows showing how they contribute, to each set until you can think of no more

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

Research[36]

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

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

The following steps summarise the stages involved in planning a piece of research:

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

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

3. If you need to carry out your own survey, you will need to decide **who** you are going to interview, i.e. to define your sample. The process of sampling means the selection of a group of people who represent those about whom you wish to draw conclusions, and thus involves determining how many people you will include, of what characteristics (men, women, water users, village residents etc), and how you will pick them (a randomly selected sample of a certain percentage of the population; all the residents of a particular suburb; a percentage of project participants etc.). The type of sample you choose will depend on the time available and the type of information you require. In general you need to have as large a sample as possible within the constraints of your time and the resources available, so that you can feel confident that your conclusions are as representative of the wider group

36 See Pratt and Loizos 1992, and Nichols 1991, for further information.

as possible. Primary research for advocacy can cover a range of activities: from village-level surveys to establish community priorities or views on a particular issue, to interviews with policy makers or officials to determine policy making processes.

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

5. The next step is to determine **how** you will collect the information. Where information already exists, this should have been noted on the table next to the relevant topic. For primary research, you will need to determine which data collection techniques are appropriate for the information you require and the sample from which you are collecting it. Most research uses a combination of methods, including interviews, questionnaire surveys, participant observation, and the group of techniques known as PRA or RRA (Participatory Rural Appraisal/Rapid Rural Appraisal). Whichever methods are used, data collection should always be:
   • systematic
   • consistent (asking the same questions for each part of the sample)
   • questioning (taking nothing at face value, cross-checking responses)
   • flexible (follow up unexpected but relevant information)
   • sensitive (respecting people's culture and privacy)
   These principles apply equally to research on decision-making within target policy institutions as to research among village residents.

6. The appropriate methods for collecting each part of the required information can be added to the table, together with a timetable and allocated roles, to form a research plan (see Table 2 below)

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

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

Your research findings and conclusions will benefit enormously from some form of peer review – this can take several forms:

• ask experts in their particular field to read and review your draft reports;
• form a research group to share plans, experiences, techniques and findings;
• identify a research 'mentor', possibly from an academic institution, who can guide you on methodology and comment on your findings.

This process will increase the quality of your research and help you to avoid mistakes or omissions that could weaken your advocacy position. It is important to build sufficient time into your advocacy plan to allow for peer review of your research.

The process of carrying out research for advocacy should contribute to the overall advocacy objectives, rather than being seen as an isolated output. In particular, targets, influentials and/or allies may be involved in the planning of the research, or at least be informed or consulted about it, so that they can contribute to the direction of the research and will be interested in the findings. If it is not possible to involve them in the planning and design, they could contribute through a steering group to oversee the direction and implementation of the research.

The search for solutions, or alternatives, is an important one in advocacy planning. Civil society organisations are often criticised for campaigning against a certain policy or practice without presenting any realistic alternative. In such cases, the advocacy initiative is not only ineffective in achieving policy change, but also can damage the credibility of NGO advocacy work in general in the eyes of advocacy targets such as governments and major funding institutions. As Edwards points out, wherever possible civil society organisations need to present 'well-developed alternatives which will guarantee rising living standards without the social and environmental costs imposed by current systems'.[37] These alternatives need to encompass the results of research and experience from a number of sources. It is not enough for an organisation simply to present examples of its own 'good practice': supporting information and analysis needs to be available that demonstrates the viability of this good practice being scaled up or more widely applicable. Research, peer reviews and discussions with advocacy targets themselves can all contribute to this process.

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37 Edwards and Hulme 1992, p22

Research findings as a campaign tool

The National Coalition against Privatisation of Water in Ghana organised an International Fact Finding Mission in early 2002 as part of their campaign against the government's plans for water sector reform. The Mission was carried out by 12 experts from around the world, who met with a range of stakeholders including government, international finance institutions, civil society organisations and local communities, in order to consider the potential impact of the government's proposed private sector participation plans for the water sector.

The report of the Mission, launched in Accra in August 2002 and subsequently in regional capitals throughout the country, concludes that 'the current Private Sector Participation proposal is not the optimal option for ensuring expanded access to clean and affordable water for the people of Ghana'. It makes the following points:

▸ Increased cost recovery will reduce access by low-income consumers;
▸ The separation of water and sanitation services reduces opportunities to address public health problems;
▸ There is no plan for ensuring access to low-income consumers;
▸ There is no attempt… to address the excessive prices borne by those dependent on tanker trucks;
▸ There is no provision for independent evaluators to establish performance baselines;
▸ There are no performance targets related to poverty or public health indicators[38]

Using data to make the case

As part of an international campaign to eradicate guinea worm, national initiatives were undertaken in Ghana and Nigeria. Guinea worm affects around 10 million people across the world, is a major cause of disability and the third biggest cause of tetanus. Before the international campaign it was largely under-reported and neglected, with barely one case in 20 known.

The campaign focused on getting key messages about contamination and prevention out to communities at village level, but in order to do this, commitment of time and resources was needed at national and global level. The groundwork for the success of the campaign was a village by village search for cases, which in 1989 identified more than 800,000 cases in Ghana and Nigeria, and highlighted areas of concentration. This data was fundamental in making the case to governments and other national bodies to elicit support and financial commitment to the public awareness campaign, as well as for targeting efforts to eradicate the disease.[39]

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38 www.southernlinks.org
39 Gorre-Dale, Eirah et al 1994

Presenting credible alternatives

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

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

'Owing to the OPP proposal, the ADB funded proposal has been cancelled by the Governor of Sindh thus saving the Sindh government from a further loan of US$ 70 million US dollars and reducing the project price from US$ 95 million to about US$ 25 million. An important role in this decision-making has been played by the OPP publication *Proposal for a sewage disposal system for Karachi*. In addition, the OPP is also producing two volumes of the OPP Survey of Karachi's Katchi Abadis in Urdu and English. This publication will have a major impact on policy issues related to water and sanitation in Karachi and will lead to the development of more rational, cost-effective and pro-poor programmes.

'Support for the OPP students' programme and publications is already influencing the lives of over 2.5 million Karachiites. With more research, documentation, planning, and policy alternatives, this number will increase substantially.' [40]

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40 Trace 1999

Research as a basis for advocacy planning

WaterAid country programmes have been involved in specific action research as a basis for their advocacy work. For example, in Uganda the HIPC initiative resulted in increased funds being allocated to the water and sanitation sector (the result of lobbying and representation by civil society and government). The government has contracted private sector organisations as a way of spending these funds and reaching the proposed coverage levels. WaterAid Uganda then initiated an action research project to consider the involvement of the private sector in the water and sanitation sector in Uganda and used the results to contribute to the major sector review process, which included government, donors and a small number of NGO representatives, including WaterAid.

WaterAid has also been involved in wider research, such as the PRSP scoping studies. These studies, carried out in selected countries, have documented the Poverty Reduction Strategy Process in each country, in particular the role that water and sanitation plays in the strategies and the involvement of civil society in contributing to the Strategies' priorities. These studies have highlighted areas which the country programme teams can then focus on through more detailed research and advocacy activities: for example, WaterAid Zambia is currently focusing its action research for advocacy on financing in the water and sanitation sector as a result of the scoping study findings. The findings of the scoping studies will also be used as a basis for monitoring the implementation of the PRSPs and in particular for contributing to the scheduled review processes.[41]

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41 Belinda Calaguas, pers. com.

Principles of research for advocacy: an example

At the Global Advocacy Meeting attended by WaterAid staff representatives from around the world, held in the UK in early 2002, the following principles for advocacy research were agreed:

▶ "One component of any WaterAid research is an analysis of the policy context both locally, nationally and if relevant, regionally and/or internationally. This would also include mapping the decision makers and implementers on the issue in question, or what others call stakeholder analysis.

▶ Research includes a gender analysis, with disaggregated data, to enable a gender sensitive advocacy message to be developed.

▶ WaterAid considers how research can be used to develop rooted advocacy, e.g. by carrying out the research with communities in terms of planning, getting their input on issues, validating the findings and exploring with community leaders/members how the findings could be used to develop their advocacy.

▶ We will always endeavour to have external peer reviews of our research in addition to internal peer reviews, e.g., through the formation of Review/Reference Groups for each research activity. This will help to ensure the quality of our research undertakings.

▶ We will endeavour to send a copy of the draft research report to decision makers and implementers (our advocacy targets) to get their comments and feedback. This would enable (a) the people we want to address with our research actually read the research and (b) we open a dialogue on the research findings with our advocacy targets.

▶ If we find that policy makers and implementers are not listening or responding to us, then we will try to find organisations and individuals who they listen to and explore the possibilities of building an alliance with them in order to reach our targets."[42]

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42 Burns and Calaguas 2002

2.3.2 Analysing the context: politics and power

In order to advocate effectively for change, civil society organisations need to understand how change takes place in the arena in which they are working. An understanding of power relationships is therefore fundamental to achieving policy change. Power relationships operate at all levels, from international to national to local and grassroots.

Tool for analysing power relationships[43]

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

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

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

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

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43 NCAS/Christian Aid 1999. This exercise was designed by Joseanthony Joseph of NCAS.

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

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

Many policy issues on which civil society organisations wish to advocate have political ramifications and in some cases the stumbling block to policy change in a particular sector is far more political than technical. For example, flood management for the Sudanese Nile is increasingly difficult for the Sudanese government because the Ethiopian government regards hydrological data relating to the Nile as it runs through Ethiopia as a security issue and refuses to release it. In this way, political considerations prevent a 'technical' policy solution being sought[44]. Similarly, civil society organisations working for policy change in the water and sanitation sector in Southern countries may well find that the obstacles to policy change lie not with the Ministry of Water but with the Ministry of Finance and centre on the distribution of funds through the national budget, rather than on the technical and sectoral issues on which they have been lobbying. If we are to tackle the root
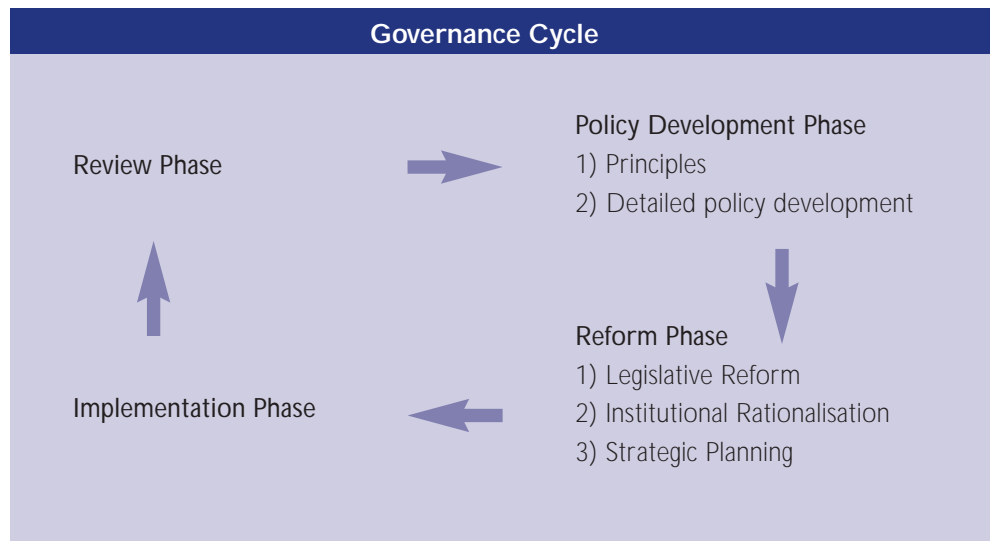
44 Len Abrams, pers. comm.

causes why many millions of people lack of access to adequate water supply and sanitation, we need to understand the political and economic context in which sectoral policies are drawn up and the power relationships which affect them.

Building on this general understanding, civil society organisations involved in a specific advocacy initiative need to analyse *where* and *how* the decision-making process takes place for their selected advocacy issue. This point is reinforced in the SCF advocacy handbook: *'if you want to bring about change you need to understand how change happens. This will vary considerably depending on your local context. For example, there is no point directing your advocacy work at local government if decisions are made nationally. In many cases, there are official decision makers and processes by* which decisions are made. However, you may discover that the most important steps in decision making happen informally, or that they are obscured or hidden. It is important that you identify what happens in reality, rather than what happens in theory… Does formal, legal change necessarily lead to real change on the ground? Who can translate decisions into action?'[45] In order to achieve change therefore, we need to research and understand which decision-making processes are relevant to the issue on which we are working.

An important aspect of this research is gaining an understanding of the various stages of the decision-making process at which policy influence can be gained and where the best opportunities lie. Abrams[46] describes this process thus:

Governance Cycle

Review Phase

Policy Development Phase
1) Principles
2) Detailed policy development

Reform Phase
1) Legislative Reform
2) Institutional Rationalisation
3) Strategic Planning

Implementation Phase

The advocacy planning process should involve analysis of these stages to enable the most appropriate interventions. Civil society organisations are reportedly often 'late' and tend to intervene in the later stages of the process, largely due to inadequate forward planning, which can limit the effectiveness of their intervention.[47]

Civil society organisations have found that it is easier to bring about change on some issues than others, often depending on the importance of the issue to governments and other advocacy targets. Some term those issues easy to change 'low' policies and those difficult to change 'high' policies, reflecting their significance for government.[48] It may

45 Save the Children Fund 2000
46 Abrams 2000
47 Chapman and Fisher 1999
48 ibid.

well be therefore that governments and other advocacy targets will let themselves be influenced on 'low' policy issues, giving civil society organisations the impression that they can make a difference in the policy arena, whilst remaining immovable on the 'high' policy issues which are the government's top priority areas and on which they will not be influenced. Sometimes, involvement in debate on these 'low' issues may allow civil society organisations a 'seat at the table', from which they can work towards influence on the 'higher' policies. In all this, an understanding of the power relationships can help civil society organisations to determine what exactly their strategy is, so that they are not blindly or naively co-opted by their advocacy targets.

Compromised principles or tactical manoeuvres?

WaterAid in Zambia has been involved in recent years in the provision of the 'software' of borehole construction in certain districts to accompany the 'hardware' provided by the Japanese-funded JICA Rural Water Supply Programme. Partly as a result of WaterAid's positive work in this area, JICA now appears to accept that communities can be involved in project implementation given appropriate support and acknowledges the role of NGOs in providing this support. WaterAid has been asked to contribute to the planning of the next phase of the programme, which will include both hard and software.

WaterAid is keen to influence JICA on two key issues: a) technology choice and the inappropriateness of boreholes as the only technical option; and b) including hygiene and sanitation as part of an integrated package, rather than concentrating solely on water source provision. At present JICA intends to go ahead with borehole promotion and will not take an integrated approach to water and sanitation through their programme. However, WaterAid Zambia has decided to continue to input into the programme and will probably become involved in the software aspects in future, in the hope that working together with JICA will enable them to exert more influence over the programme and future policy than if they refuse to collaborate.[49]

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

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

49 Nick Burn pers com

2.3.3 Understanding the time-frame

The importance of timeliness for effective advocacy work cannot be overemphasised. As mentioned above, there is a tendency for civil society organisations to react to issues only after they reach the agenda of their advocacy targets, which in some cases is too late to affect the outcome of the debate. Careful analysis of current directions in policy can allow civil society organisations to anticipate – and in some cases even create – trends and thus be ready to intervene in the earlier stages of policy debate if necessary.

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

Using a time-line for advocacy planning

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

'Step 1: Tape together three flip-chart sheets end-to-end and draw a horizontal line across them. This represents the time scale of your advocacy project. At the right hand end, write the anticipated end date of your advocacy project, and draw a simple illustration of how the world will be when your advocacy has succeeded.

Step 2: As a group, discuss the social or political events that are likely to impact on your project through its lifetime. Mark these in sequence on your drawing, adding the expected dates if known. This gives a simple picture of the external environment in which your advocacy will unfold.

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

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

The chosen activities and their sequencing them become the time-line for your advocacy project.'[50]

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50 Save the Children Fund 2000, p41

Understanding the time-frame of World Bank projects[51]

Information on World Bank projects is produced at different stages in the preparation of a project. Table 4 below presents an illustration of the stages in the project cycle. The Bank and governments of borrowing countries share responsibilities over the project cycle. Co-financing agencies, bilateral agencies, civil society organisations, and other parties may also participate in the preparation of a project and in its implementation.

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

51 This information is taken from an internal WaterAid memorandum by Belinda Calaguas and Esther Monier-Illouz on the Concept Proposal for the WAPA Working Group (WaterAid/pS-Eau/ACDE Working Group on Water and Sanitation World Bank Project), 18 July, 2000.

Table 4: World Bank project cycle stages and documents

Project Cycle	Activities	Documents Available to the Public

Identification	Joint Borrower/Bank Involvement
	• Sources of project ideas:
	  · Bank economic work
	  · prior projects
	  · other agencies
	• Initial summary of project approved by country department
		Project Information Document (PID)

Preparation	Responsibility of Borrower
	• Technical/financial assistance available from:
	  · Borrower
	  · Bank
	  · other agencies
	• Studies (economic, technical, institutional, financial)
	• Study of impact on environment
	Project summary revised by the Bank
		Technical information
		Environment Assessment (EA)
		Revised PID

Appraisal	Responsibility of Bank
	• Evaluation of project viability:
	  · economic
	  · technical
	  · institutional
	  · financial
	  · environmental	

Negotiations	Joint Borrower/Bank Involvement • Borrower reviews final documents • Terms and conditions of loan agreed	
Approval	• Board of Directors of the Bank approves loan • Signing of loan agreement by both parties	Staff Appraisal Report (SAR) or Technical Annex (TA)
Implementation/ Supervision	• Loan declared ready for disbursement • Implementation by Borrower • Supervision by Bank	Legal Agreement
Ex Post Evaluation	• Completion and audit reports • Analysis used for future project design	Impact studies

2.4 Setting objectives

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

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

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

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

SMART advocacy objectives	**Not SMART advocacy objectives**
• To convince xx (particular person or office) at the Ministry of Education to adopt a national hygiene promotion programme as part of the yy curriculum for primary and secondary school-age children by the start of school year zz	• To promote the use of sanitation services among poor communities
• In the next year, to increase funding for sanitation provision in the 5 poorest districts by 50%	• To promote hygiene education in schools

Tool for setting SMART objectives

The following exercise may be useful for teams in the process of defining their advocacy objectives, to help ensure they are SMART. It requires a group of at least 5 people.

Step 1: Each person is given 3 large cards and asked to draft up to 3 advocacy objectives and write them, one each, on the cards, which are placed in a pile in the centre

Step 2: The team is then split into five groups, each of which is allocated one of the SMART criteria: for example 'Specific', 'Measurable' etc. (in a team of only 5 people, each 'group' will contain only one person).

Step 3: The first 5 cards are distributed between the 5 groups, who examine the draft objective written on the card and decide whether it meets the criterion of their group. If it is not sufficiently 'specific', 'measurable' etc, they edit the objective (in a different colour pen). If they consider it to be an activity, rather than an objective, they place it in a separate pile in the centre.

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

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

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

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

Sample SMART objectives for water supply and sanitation advocacy[52]

- To convince the District/Municipal Chief Administrative Officer and the District/Municipal Assembly in xxx District/Municipality of the valuable contribution of District-based civil society organisations in delivering water supply and sanitation services to the villages, as a first step in accepting these organisations as partners in district water supply and sanitation planning, implementation and monitoring
- To establish a city-wide network of urban poor organisations, civil society organisations, consumer associations in xx in order to spearhead the call for improved water supply and sanitation services at affordable prices for poor residents
- To stop the sell-off of the xx public water supply and sewerage services company to yy private company
- To convince the Chief Executive and Board of the xx city development corporation that non-legal poor residents in yy city/district should be connected to the main water/sewerage supply
- To convince the Chief Executive and international operations manager of xx (international private water sector provider) that it is in the company's corporate interest to improve water/sewerage services to poor, non-legal communities
- To raise the awareness of the residents of xx community/town about the impending privatisation of yy services and the likely impact on their water supply/sanitation services
- To ensure that the national economic and development planning authority includes water supply and sanitation coverage targets in the country's new 5 year development plan

Any national advocacy activities within the WASH Campaign should also fit under the Campaign's overall objective, namely *"to raise the commitment of political and social leaders to achieving these goals [making safe water, sanitation and hygiene a reality for all] and effecting the necessary behavioural changes through various information and communication channels, using traditional and mass media, hygiene promotion in schools, training and building local capacity in communications and improving networking and research"*[53]

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

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52 Belinda Calaguas, pers. comm.
53 Gorre-Dale, Eirah for Water Supply and Sanitation Collaborative Council 2002

Strengthening civil society involvement in policy making in Nepal

In preparing a global vision for water and sanitation for the World Water Forum in early 2000, the WSSCC decided to take a participatory approach and organised consultations in 20 countries from five continents. A social mobilisation process was initiated to establish local and sub-national visions, which then fed into national, then regional visions, and ultimately into a global vision. The objectives of this process were not only to produce a final document – the Vision 21 – but also to *'initiate a participatory, public-centred, people-empowering process of dialogue among all stakeholders towards collaborative efforts on water and sanitation, to be continued after the Hague Forum.'* In Nepal, this process took the form of community consultations during February 1999, followed by a national level workshop in May, with participants from government ministries and NGO representatives.[54]

The Vision 21 process in Nepal is considered to have made a contribution to the recognition of civil society as policy actors, increasing the legitimacy of civil society participation – the 'democratic space' dimension of advocacy referred to above in Section 1.1.[55]

54 Vision 21 Nepal, 2000
55 WaterAid 2000a

2.5 Identifying targets

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

There is a wide group of stakeholders with an interest in your advocacy issue. As well as *targets*, this group includes *adversaries* (those who oppose your position, but who may not be directly responsible for decision making); *beneficiaries or constituents* (those on whose behalf you speak); *allies* (those with whom you can work towards your advocacy goal) and *internal stakeholders* (colleagues and others from within your organisation who have a stake in the process and end result). The Box

at the end of this Section describes some of the key stakeholders in the water and sanitation sector (Allies are discussed in the following section, Section 2.6). It is important to remember that stakeholders can move between the various groups, as they become aware of the issue or are affected by other circumstances. Furthermore, a 'target' institution may contain both target individuals and allies, as there is usually a range of positions within any organisation on a given issue.

It is also important to identify *'secondary targets'* or *'influentials'*,[56] i.e. those who have influence over the key targets, as they can often be an effective route to bring about change. They may be officials within the target institution, the media, members of parliament, civil servants, other government departments, trade unions, religious leaders, health workers, teachers, or the general public.

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56 Save the Children Fund 2000

The influence tree

The influence tree is a tool for analysing the decision making processes of a particular organisation or sector. Similar to a PRA mapping exercise, it can be drawn up by the advocacy planning team as a group, with one person holding the pen and others commenting, or by taking it in turns to hold the pen.

Step 1: The various components or the sector or organisation (departments, organisations, individual job holders) are drawn as circles or boxes on a large sheet of paper.

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

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

Two examples of an influence tree are presented below, the first for a water corporation and the second for a multi-lateral agency such as the World Bank.

Figure 1: Influence Tree for Corporations[57]

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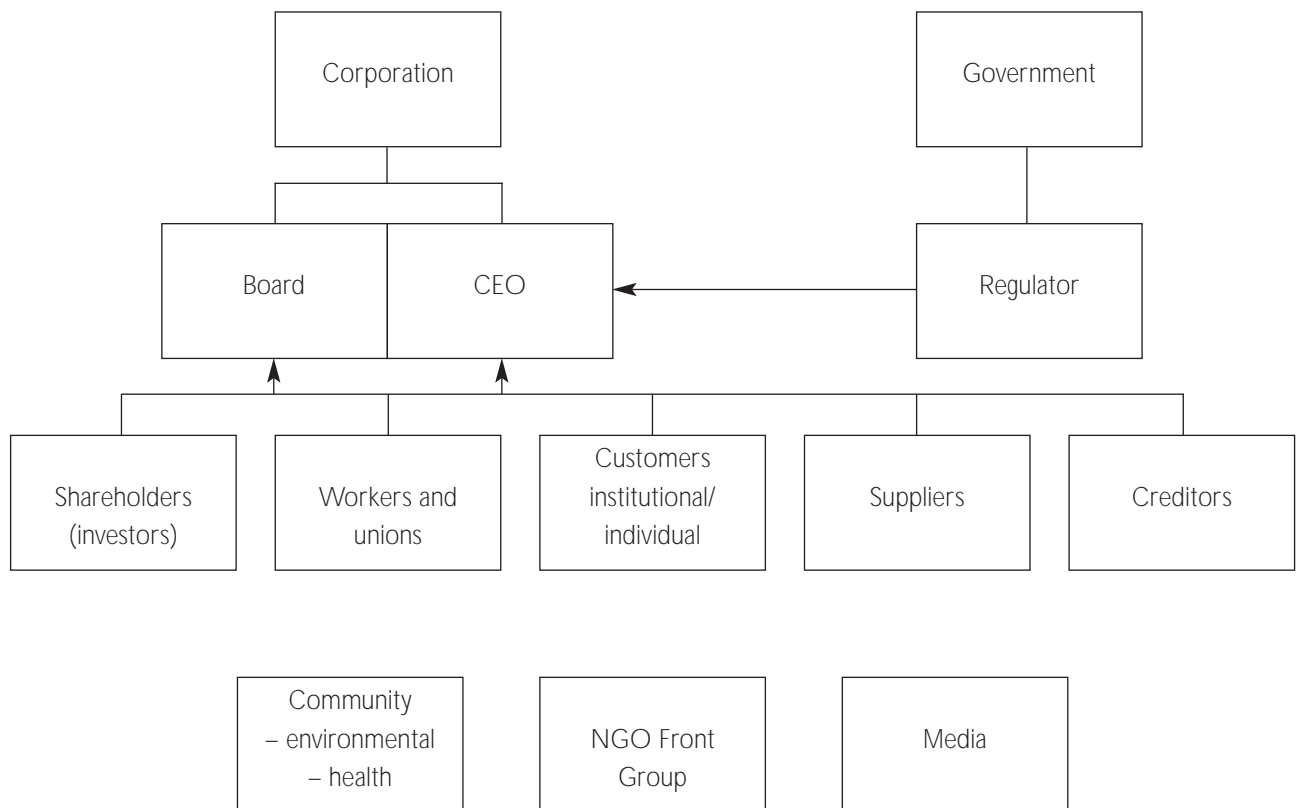
57 Ockleford 2000

Figure 2: Influence tree for multi-lateral agencies[58]

	e.g.: World Bank			
Public	media	governments	Banks	regional/sectoral specialists
		bilateral donors	central / commercial	
			Water corporations (contracts)	"Departments" – water & sanitation – privatisation
	international NGOs			staff
	research			
	project output			

?

leverage point: ☐
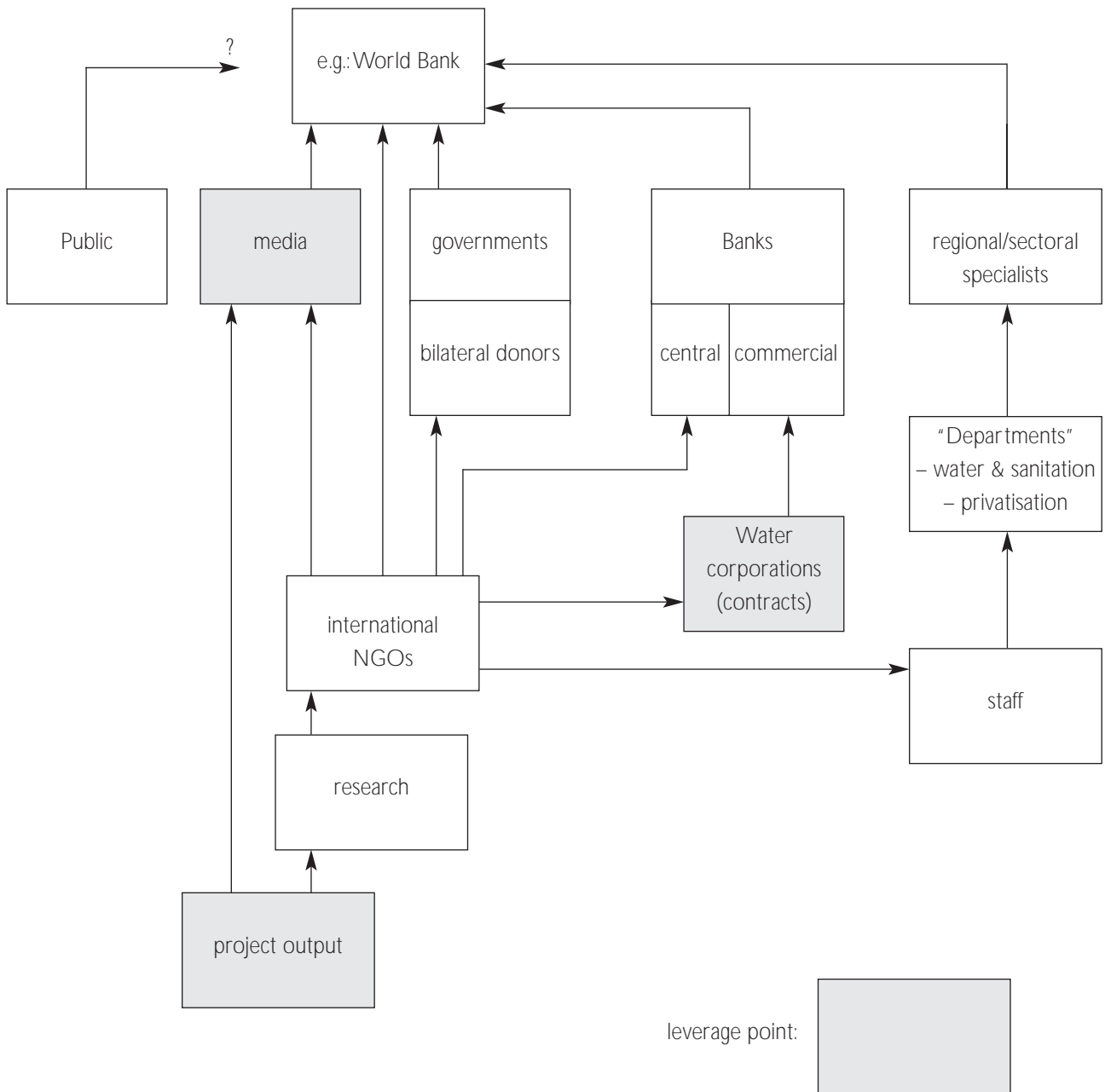
When you have identified your key advocacy targets, you need to analyse the extent of their knowledge on the issue, in order to determine which advocacy approaches and activities you will use. The following exercise may help you to do this:

Analysing targets

A further step in the analysis of your advocacy target is to draw up a table of the targets and 'influentials' for each advocacy objective, and next to each target to list in columns: what do they know about the issue; what is their attitude towards it; and what do they care about (even if it is not related to the issue – this helps you to know how you can relate your issue to things they do care about).[59] Finally, in the last column, note any particular influentials that can put pressure on your target. An example of this table is given below, for a fictitious advocacy activity aiming to increase attention and resources for sanitation services from provincial and district assemblies and their water supply bureaux (the key advocacy target is the Provincial government).

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

Table 5: Analysis of targets: sample table

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

Government as both targets and influentials

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

Government recognition of the success of this approach has been the result of advocacy work carried out not only by WaterAid local and national staff, but also by local government officials, both those directly involved in WAMMA and those with regional or district responsibility in the sector. The latter have promoted the programme's approach through presenting papers at national level conferences and other fora, and arranging project visits for Ministers, Members of Parliament and other key officials. In this way, government staff have been not only targets, but also influentials and advocates themselves.[60]

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60 Based on a telephone interview with Mr. Yunusu Rugeiyamu, Regional Water Engineer, Dodoma Region, 15.11.00.

Advocacy for water supply and sanitation: who are the stakeholders?

Communities

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

Local government

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

National government

National government officials, as policy makers, are often key advocacy targets, but some may also be influentials or even allies on a particular issue. As with local government, some departments may be able to exert influence (or even power) over others: for example the Finance Ministry may be able to affect the policy of another Ministry through its influence over budget allocations. As the issue of water cross-cuts a number of government departments in many countries, advocacy activities need to take into account the key actors in health, environment and other ministries, not only those in the water department.

Civil society

NGOs, as implementers of water and sanitation projects, may be allies in advocacy initiatives, or may be influentials, providing examples of good practice and the outworking of policy alternatives. International NGOs sometimes have a key opportunity to influence donors and other international organisations and can thus be strategic allies or influentials. NGOs may also at times be advocacy targets themselves for

better practice or policy, in their role as donors or as operational practitioners. In addition to NGOs, other civil society groups are key stakeholders in water and sanitation development: community-based organisations (e.g. urban poor associations, women's self-help groups), trade unions in public or private water supply service providers, and consumer associations, may all be allies or influentials in advocacy initiatives.

Private sector

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

International donors and multi-lateral organisations

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

2.6 Identifying allies

Allies are a significant group of stakeholders – those who are also committed to change on your chosen issues, with whom you can work. The NEF study of NGO campaigning stresses the importance of this sort of collaboration, emphasising the need for a mix of skills and people. A range of approaches (for example, using both 'insider' and 'outsider' strategies – see Section 2.8 below) is often useful to bring about change. As most civil society organisations tend to specialise in one or the other, collaboration can therefore increase the impact of advocacy initiatives.[61] Collaboration is particularly important for the WASH Campaign, as the WSSCC structure relies on a few committed individuals being able to secure support from a wide range of colleagues in the sector in order to undertake activities.

The SCF advocacy handbook highlights the advantages of collaboration:

- You have an opportunity to share expertise, knowledge and lessons learned.
- You may gain access to other resources, such as funding.
- Several groups speaking with one voice are likely to be taken far more seriously than if each group works separately.
- Working within partnerships or networks bolsters moral support and solidarity.
- Partnerships with or between young people are a good way to ensure their voices are heard.
- Working in partnerships is also a first step towards strengthening civil society and furthering the social change process which many see as a central goal of advocacy work[62]

The importance of alliances for achieving influence

WaterAid is currently carrying out research on the Poverty Reduction Strategy process in a number of countries, to examine the importance given to water and sanitation issues in the Poverty Reduction Strategy Papers and the role of civil society organisations working in the sector in influencing the outcome of the process.

The latest findings demonstrate that where water sector multi-stakeholder alliances or civil society networks were in place, they were generally able to ensure the participation of civil society in the consultation processes and, to some extent, could influence the final PRSP documents. In countries where actors in the sector were more fragmented or had no working relationships, it was difficult for stakeholders to comment coherently and consistently on the water supply and sanitation components of the PRSP. The challenges of linking up and organising remain crucial issues for the WSS sector. [63]

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61 Chapman and Fisher 1999, p10
62 Save the Children Fund 2000
63 Calaguas and O'Connell, 2002

Collaboration for advocacy may be formal or informal; temporary or permanent; single issue or multi-issue; geographically-focused or issue-focused.[64] The most common forms of civil society collaboration for advocacy include: networking (information sharing); networks (information sharing and perhaps some co-ordination of activities); coalitions (groups acting together on a specific activity); and alliances (more permanent arrangements).

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

Alliance building in advocacy[65]
Musts
- Clarity:
  – objectives (is everyone clear on the objectives?)
  – differences (is everyone clear on the differences between various parties?)
  – assumptions (are the assumptions under which each group is working clear?)
  – working principles (what are the working principles for each group?)
- Compatibility:
  – values and perspectives (have you shared your values and is their enough common ground?)

  – interests (is there enough common interest between you?)
  – working principles and policies (are your working principles and policies compatible?)
- Communication:
  – consistent (regular communication is important)
  – multiple channels (don't restrict to a single form of communication)
- Consensus:
  – decision-makers (have you agreed who are the decision-makers and how?)
  – participation (are the levels of participation by the various parties agreed on?)
  – collective leadership (have you defined how the leadership will operate?)
- Coherence:
  – sharing responsibility (share responsibility to keep the alliance together)
  – co-ordination (ensure someone is responsible for co-ordinating activities and communication)
  – channelled effort (how are you going to encourage everyone to work in the same direction?)
- Conflict management system (what will you do when there are conflicts of opinion?)
- Autonomy of members and constituents (have you discussed to what extent groups can act individually?)

Challenges
- Self perpetuating structure (how will you know when it is time to stop?)
- Appropriating the identity of the members (how can you retain your individual identities yet work as a group?)
- Taking credit by visible members or leaders (how can you ensure good participation by all members?)
- Competing self-interest of members (how can you keep everyone working towards a common goal?)

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64 Sharma no date, p88
65 Based on NCAS/Christian Aid 1999

- Differing ideologies and personal histories (how will you work to bring people together?)

- Sustainability (how will you support the alliance?)
- Initial enthusiasm and eventual stagnation (how can you keep up the momentum?)

Principles of Partnership

Building Partnerships for Development is a network of partners established to explore when partnerships between business, government and civil society can achieve more at the local level than any of the groups acting individually. The Water and Sanitation Cluster of the BPD has been working with eight partnership projects around the world. In their analysis of the BPD experience in the light of the literature on partnerships, BPD highlight the following critical features of a partnership:

▸ a shared vision from which comes a clearly agreed-upon mission. This provides a common language for articulating the group's mission to the outside world, and provides a framework to guide future actions
▸ common goals that are mutually beneficial to all partners and are well defined, both concrete and attainable. Goals should be shared and measurable
▸ clarification of the roles and responsibilities of each member in reaching these goals
▸ shared responsibility and authority for attaining the partnership goals – members must include those who have decision-making authority within their home agency and have relevant expertise
▸ a governance structure that supports shared decision-making
▸ the process for decision-making must be agreed upon by all partners to be effective
▸ collaborative work is designed to use the expertise of each partner in the collaborative relationship – a team approach synonymous with interdisciplinary partnerships (best practised within an atmosphere and structure that supports co-operation and mutual interdependence)
▸ a joint plan that outlines the goals, objectives, desired outcomes and strategies (as well as the process for implementation and evaluation)
▸ shared resources committed by the collaborating agencies (a key indicator of progress in a collaborative venture)[66]

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66 adapted from 'Collaborative Partnerships – a review of the literature' (Karasoff): http://www.dssc.org/pdp/extonly/chap_1.txt in David Jones, 2001

Coalition challenges: a case study from education

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

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

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

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

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

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

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

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

In March the increase for secondary school development was defeated in parliament by a narrow margin. The coalition survived this episode, but relations between the teachers' associations, other coalition members, and AAE are strained at best. In addition, the credibility of AAE is diminished as officials in the government are uncertain whether AAE speaks clearly for its membership'.[67]

PEVODE: a people's network for joint action and advocacy[68]

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

The Water User Committees were elected by residents in the streets, but the committees operated under the authority of the street government – local elected government officials. Over time, the seven water user committees realised that they had common problems:
a) The street government was responsible for convening and chairing the meetings of the WUC. There were tensions between the chairs of the WUC and the street government, sometimes due to party political differences. These tensions got in the way of the running of the committees.
b) The WUCs collected tariffs from the sale of water from the boreholes they managed. The street government wanted to have authority over this revenue to use for other needs (apart from the operation and maintenance of the boreholes).

67 Sharma, no date, p 91–92
68 Belinda Calaguas, pers. comm.

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

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

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

PEVODE's aims include:

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

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

c) Forum for discussion of problems and achievements

d) Representation and advocacy to: local government; DAWASA; and private opera-tors; on the issues of the urban poor, their access rights to water and sanitation, and the impact of privatisation

e) Networking

Working in alliances and partnerships may also involve collaboration with governments, the private sector and a range of other stakeholders with varying interests in the advocacy topic. The box below presents some of the experience of Stakeholder Forum (formerly UNED Forum) in organising multi-stakeholder processes.

Multi-stakeholder dialogues[69]

The term multi-stakeholder processes (MSPs) describes *processes which aim to bring together all major stakeholders* in a new form of communication, decision-finding (and possibly decision-making) on a particular issue. They are also based on recognition of the importance of achieving equity and accountability in communication between stakeholders, involving equitable representation of three or more stakeholder groups and their views. They are based on democratic principles of transparency and participation, and aim to develop partnerships and strengthened networks between stakeholders. MSPs cover a wide spectrum of structures and levels of engagement. They can comprise dialogues on policy or grow into consensus-building, decision-making and implementation of practical solutions. The exact nature of any such process will depend on the issues, its objectives, participants, scope, time lines, etc.

Hence, MSPs come in many shapes. Each situation, issue or problem prompts the need for participants to design a process specifically suited to their abilities, circumstances, and needs. However, there are a number of common aspects – values and ideologies underlying the concept of MSPs, questions and issues which need to be addressed when designing an MSP, and stages of such a process. Our suggestions form a *common yet flexible framework*, which we offer for consideration to those who design, monitor and evaluate MSPs.

MSPs are not a universal tool, not a panacea for all kinds of issues, problems and situations. MSPs are akin to a *new species* in the eco-system of decision-finding and governance structures and processes. They are suitable for those situations where dialogue is possible, where listening, reconciling interests, and integrating views into joint solution strategies seems appropriate and within reach. MSPs have emerged because there is a perceived need for a more inclusive, effective manner for addressing the urgent sustainability issues of our time. A lack of inclusiveness has resulted in many good decisions for which there is no broad constituency, thus making implementation difficult. Because MSPs are new, they are still evolving. Because they are people-centred, people need to take ownership and responsibility for them, using and refining them to serve their own purposes and the larger purposes of the global community of which they are part.

At an international workshop on Multi-Stakeholder Processes held in New York on 28th and 29th April 2001, the co-chairs, Hesphina Rukato and Derek Osborn, summarised the key conclusions of the meeting as follows:

69 from UNED Forum (now Stakeholder Forum) website: www.unedforum.org

Consult all stakeholders at the outset in planning a multi-stakeholder process.

Multi-stakeholder processes are however complicated to organise, and can fail to deliver positive results if they are not properly planned, structured, managed, led and supported, and if there is insufficient common vision. The meeting agreed that it is crucially important that those considering multi-stakeholder engagement in an international process should plan how it is to be structured and organised at the outset. The stakeholders themselves should be fully consulted about the way in which they are to be involved. They need transparent and predictable mechanisms of engagement. Independent facilitation by respected and experienced persons is crucial to empower participants, resolve conflicts and achieve successful outcomes.

Provide enough time and resources.

Particular attention should be given to the time and resources they will need to make a worthwhile contribution including securing adequate involvement and contribution from all parts of their own networks. Effective multi-stakeholder processes can be expensive and time-consuming, but the cost of failing to engage interested parties can be orders of magnitude greater.

Identify stakeholders through a transparent and legitimate process.

The selection of stakeholders to participate is also crucially important. Difficult questions of legitimacy can arise in this context. Key requirements are that the process should be transparent and inclusive. It could be useful to develop more of a normative framework for the identification of stakeholders through their own legitimate channels and within their culture of leadership.

Build the capacity of stakeholders.

The different capacities and resources of different stakeholders need to be taken into account, and measures to ensure good support and funding for less well-endowed groups need to be secured. Training and capacity-building are important for many stakeholder groups; conversely, the secretariats and official structures of many processes may also need to develop their understanding of what multi-stakeholder processes can offer.

Set goals for the process.

It is very important that there should be a clear and agreed view at the outset as to how the multi-stakeholder contribution is to be received and fed into the main process it is designed to support in time to have a significant influence. There must be good faith and a real intention on the part of the main process to build trust between all parties, to identify and dialogue about fundamental conflicts of value and interest, and to take serious notice of the stakeholder input to their own deliberations, and to be open to being influenced by it. A purely artificial process in which it becomes clear that the main decision-makers have closed minds or have already made their decisions and are not taking any serious notice of the stakeholder contribution is counter-productive. It can cause frustration amongst stakeholders, leading to disengagement and alienation.

Communicate with the public.
Communication with the wider public is crucial at all stages. Organisers should plan how to involve the media at all stages, and how to present and disseminate messages in ways that will engage popular attention.

Build on the step-by-step approach.
On all these issues the meeting gave general endorsement for further development of the step-by step approach to organising multi-stakeholder processes identified in UNED Forum's report. Participants agreed that the report provides a useful resource to anyone planning such processes while recognising that every process is unique and will find its own solutions to the various questions to be addressed. There needs to be better communication between those engaged in different processes so that learning and experience can be shared and duplication and re-invention of wheels can be avoided.

Working with the private sector presents specific challenges for organisations involved in advocacy, in particular how to avoid commercial self-interest dominating the joint agenda. However, there are a number of examples of public-private partnerships successfully promoting water and sanitation issues, as illustrated in the box below, a case study of a public-private partnership for the promotion of handwashing and hygiene behaviour in Central America, which is currently being replicated in India and parts of Africa by the World Bank.

The Central American Handwashing Initiative: an example of a public-private partnership[70]

Diarrhoeal disease is a serious threat to child survival in Central America. In 1995, diarrhoeal disease caused 19 percent of under-five mortality in Honduras, 23 percent in Nicaragua, 20 percent in El Salvador, and 45 percent in Guatemala. To address this important public health problem, two USAID projects, BASICS and the Environmental Health Project (EHP) played the role of catalyst in the Central American Handwashing Initiative. The Initiative – whose mission was to reduce diarrhoeal disease among children under five by promoting effective handwashing with soap – was a partnership among the catalyst team, four soap companies, the ministries of health from participating countries – Guatemala, El Salvador, and Costa Rica – and numerous NGOs and development organisations. Representatives from the various partner organisations formed a Task Force that met periodically to guide the effort.

The basic approach of the Initiative was to get soap companies to agree to promote correct handwashing in advertisements targeted to low-income families whose chil-

70 Public-Private Partnerships: mobilising resources to achieve public health goals – the Central American Handwashing Initiative points the way BASICS, EHP, UNICEF 2001

dren are at high risk of diarrhoeal disease. Through participation in the Task Force, partners developed a slogan for the campaign and a generic advertising concept that soap producers could adapt in their "branded" campaigns. The advertisements and other promotional materials focused on motivating consumers – particularly mothers – to wash their hands at appropriate times, using the correct technique.

The campaign was launched in March 1998 in Guatemala, Costa Rica, and El Salvador, and included:
- *Extensive use of television, radio, and newspaper advertisements.* Television stations in Guatemala, Costa Rica, and El Salvador donated free air time for campaign commercials that were broadcast nation-wide, and two Guatemalan radio stations aired over 6,300 radio spots in Guatemala City and the Altiplano. A Guatemalan newspaper donated space for vignettes about handwashing for over eight months.
- *Distribution of posters, banners, brochures, and video- and audiotapes.* In Costa Rica, Punto Rojo worked with the U.S.-based private voluntary organisation World Vision and the Office of the First Lady of Costa Rica to print and distribute 6,600 campaign posters. In El Salvador, Unisola/Unilever distributed videotapes of the television advertisement to 3,500 schools and audiotapes of the radio spots to 31 health posts.
- *Community activities.* Two U.S.-based private voluntary organisations, CARE and World Vision, and a Guatemalan foundation, Fundazucar, strengthened their hygiene programs in communities through use of generic campaign materials.
- *Participation in school hygiene programs.* In El Salvador, Unisola/Unilever bolstered that country's Healthy Schools Program through donation of 25,000 soap samples and other materials. In Guatemala, Colgate-Palmolive developed handwashing kits and other school program materials (colouring books, flyers, games) in addition to donating soap samples to schools.
- *Participation in markets and fairs.* In El Salvador, Unisola/Unilever distributed banners that were displayed at 150 health fairs. In Guatemala, La Popular printed 5,000 posters and distributed posters and banners to local markets.

The following factors proved to be essential to the Central American Handwashing Initiative's success and will generally be key to any public-private partnership (PPP) endeavour:
▸ Presence of a catalyst. A catalyst can bring partners together, contribute resources, and offer expertise in a wide range of technical areas.
▸ Public sector backing. Enthusiastic support from the public sector lends reassurance to private sector firms that participation in a PPP campaign is worthwhile.
▸ Existence of a vibrant private sector. The private sector must have the capacity to effectively market to the targeted population.

- ▶ Commitment of private sector decision-makers. Invested private sector decision-makers can also encourage integration of PPP elements in their company's corporate strategy, ensuring sustainability into the future.
- ▶ Conducive environment for behaviour change. In the case of the Handwashing Initiative, this meant wide availability of soap and easy access to water.
- ▶ Behavioural research. Market surveys provide information vital to designing effective advertising strategies and establishing a baseline for measuring progress.
- ▶ Road map. Having a well-defined approach to a PPP gives all partners a clear idea of the sequence of events and helps keep activities on track.
- ▶ Ownership. Fostering ownership in participants ensures long-term sustainability.
- ▶ Understanding roles, responsibilities, expectations. Clearly defined and agreed upon goals, expected outcomes, and roles and responsibilities of partners provide structure and guidance to a PPP campaign.

2.7 Defining the message

When you have completed your research and analysis, set your objectives and identified your targets and allies, it is time to define your advocacy messages. Informed by the previous stages of the advocacy planning cycle, your messages are a summary of the change you want to bring about and by when. They may also include the reasons why you feel the change is important and the action you would like the audience to take in response, but they must be brief and concise to have the maximum impact.[71] Although you will undoubtedly have supporting documents and more detailed information to present, you need to be able to summarise in one or two sentences what your advocacy work is all about – as if you have 30 seconds on national TV to make your case. Whether you ultimately get the chance to talk on TV on not, defining your advocacy messages is an important part of crystallising what you are aiming for and summarising the most significant aspects.

Your messages may vary depending on the audience to whom you are presenting them. Whilst your overall position on the advocacy issue will not change, you will probably have to adapt the way you present your message to achieve the greatest impact on different audiences. This is called 'framing' the message. Some people have expressed concern that this can imply watering down a strongly held belief or even presenting false information, and suggest that the facts should speak for themselves. Framing an issue is not distorting the facts, but simply taking into account the preferences and position of the target audience, and presenting it in a way that will reach them. *'What underlies all advocacy efforts is a proposed change in power equations – an essentially political activity. And in the political world, there is no issue which is seen as completely just or right to all parties or individuals…Framing the issue therefore demands both a detailed study of the targets and a comprehensive knowledge of one's own issue'.*[72]

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

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71 Save the Children Fund 2000, p32
72 NCAS/Christian Aid

Advocacy issue: lack of clean water and sanitation facilities in rural Tanzania

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

The knowledge gained from the research and analysis stages earlier in the advocacy planning cycle is therefore essential in framing the message. For example, knowing the issues which your advocacy target **does** care about may enable you to make links in your message between your issue and their concerns, and therefore increase the likelihood of the target responding positively (see Table 5 in Section 2.5 above). However, the process of defining and framing the message has to be consistent with your overall position: *'framing the message has to be done without diluting the facts, compromising on core values, and/or undermining people's movements'.*[73]

Messages should therefore be:

• simple and easily understandable
• culturally and socially appropriate
• technically correct
• brief
• relevant
• practical
• positive[74]

You need to be able to back your message up with an illustration – descriptions of the extent of the problem, success stories showing what can be done, or human-interest stories. Any data included in the message should be as localised as possible – for example, for a national campaign on sanitation, the key figures should be the level of sanitation coverage in that country, rather than the global picture.

73 ibid.
74 Gorre-Dale, Eirah et al 1994

Whenever possible, messages should be pre-tested with representatives of the intended audience, especially when pictures and other visual materials are to be used, which are easily misunderstood. Pre-testing materials helps to determine whether the target audience understands the message; can grasp and verbalise the meaning of pictures or audio-visual material easily and quickly; and finds the pictures culturally acceptable.

WASH key themes for advocacy messages

The WASH Campaign has identified four key themes, from which individual national advocacy messages can be derived. These are as follows:

1. **Water, sanitation and hygiene can save lives.** Billions of people die each year due to unhygienic environments, their food and drinking water contaminated by faeces riddled with bacteria, viruses and parasites that cause diseases such as diarrhoea, the deadliest killer of children under five in developing countries. Solving the sanitation problem and helping people to practice better hygiene can save many lives and reduce incidence of disease

2. **Water, hygiene and sanitation for people: women and children come first.** Lack of access to environmental sanitation and hygiene affects women and children most. This has also led to many incidences of violence against women and girls and endangered their reproductive health. Addressing gender issues benefits girls' status and education, improves privacy and restores human dignity – a first step to improving the quality of life

3. **Reforms are critical to improving water and sanitation services for the poor.** Governments, private water utilities and international agencies must give priority and resources to institutional reform and recognise that doing so will contribute to better practices, good governance, safeguard basic rights and responsibilities of every citizen

4. **Water, hygiene and sanitation are entry points for poverty alleviation.** The problem exacts the highest toll on the poorest segments of society in both rural and urban areas. Giving high priority to these basic services at local, regional and global levels should be at the top of the political agenda and recognised as essential for eradicating poverty and contributing to sustainable development

2.8 Choosing approaches and activities

There is a range of approaches that can be employed in advocacy – some are confrontational while others involve working alongside advocacy targets to achieve the desired change. These approaches can be placed along a continuum, thus:

co-operation – education – persuasion – litigation – contestation[75]

Advocacy may involve more than one of these approaches at any one time, or over time, particularly if it is being carried out by an alliance or group of organisations. As mentioned above, one of the advantages of collaboration is that two organisations may employ different approaches towards the same advocacy target, depending on their own organisational skills and experience, whilst working towards the same end. Some organisations prefer to work from the inside (using 'insider strategies' of co-operation and persuasion), while others operate most effectively from the outside (using 'outsider strategies').

The approaches used in advocacy will depend not only on the character of the organisations involved, but also in the nature of the advocacy targets. Different targets may respond more effectively to different approaches, and this needs to be taken into account in your advocacy plan.

Approaching the World Bank

At a WaterAid Seminar on civil society advocacy for international water policy, one of the presentations focused on policy making in the World Bank and the role of civil society. Three different strategies were suggested for achieving influence over the World Bank:

▶ confrontation: 'be somewhat threatening'
▶ develop a relationship where you are considered to be an important ally
▶ be an unquestionable authority on your topic[76]

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

- policy analysis (proving the case for policy alternatives)
- demonstrating solutions ('good practice' advocacy through positive project work)
- action research (documenting others' policy or good practice)
- public awareness campaigns ('*mobilising public action in support of the changes you are seeking*'[77])
- partnerships (working together with others)
- media work (raising awareness of the general public and others)

75 Miller and Covey 1997
76 Clark 2000
77 Save the Children Fund 2000, p47

- mobilising the general public (as 'influentials', to encourage them to put pressure on decision makers)
- creating ways for people to act for themselves (facilitating people's participation in their own advocacy causes)[78]

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

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

▸ your analysis of the issue and the target
▸ your analysis of what/who influences the target
▸ your resources (financial, staff, time, contacts and networks, relationships etc.)
▸ your aims
▸ your organisation's ways of working (see Box below for a summary of the WASH Campaign approaches)

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[78] Based on Save the Children Fund 2000, p41

WASH Campaign Approaches

Mobilising communities and promoting people-centred approaches

Community groups, ranging from civic, religious, educational, commercial, sports, entertainment and other stakeholders can all help to transform society and influence policy and behaviour. People-centred approaches to hygiene, sanitation and water supply can be defined by demonstrating and applying people's rights and responsibilities to these basic services as enshrined in Vision 21 as well as in the Code of Ethics developed by the International Secretariat for Water and the WSSCC. Drawing on the successful experiences of Vision 21 in some countries, WASH activities will focus on advocating sanitation, hygiene and safe water practices, promoting appropriate technologies such as rainwater harvesting and other people-centred initiatives, and through holding public rallies, debates and multi-stakeholder dialogues, signing petitions, staging exhibitions, competitions, folk theatre presentations and other public awareness activities as well as inter-personal communications where possible.

Building partnerships across sectors and disciplines

The drinking water supply and sanitation sector acknowledges that it cannot operate in isolation from other economic and social sectors if the goals of the WASH Campaign are to be achieved. As water, sanitation and hygiene are entry points for poverty alleviation, integrated water resources management and sustainable development, WASH seeks to bring together policy-makers, practitioners, community-groups, religious organisations and those working in health, nutrition, environment, education, finance, communications, human rights and other development fields. Collaborative Council members are also strengthening partnerships with professional associations, the private sector and other institutions to promote knowledge networking and experience-exchange among developing countries and the industrialised world.

Promoting management and institutional reform

The impending water and sanitation crisis in the developing world is a crisis of governance and political will. Many governments are failing to address the needs of its poor and marginalised inhabitants who often pay a higher price than the rest of society for water and sanitation services. Unless there is a shift to increasingly involve people at the centre of water management, this precious resource will remain contentious and cause conflicts among communities, countries and widen the gap between the rich and poor. Strengthening public accountability and improving regulations, legislation and effective monitoring of water and sanitation services will improve governance and service delivery especially to the poorest of the poor. The WASH Campaign aims to promote partnerships between public and private sectors and the provision of more equitable and affordable services with priority given to the poor, particularly women and children, who suffer the heaviest burden of poverty and sickness in many developing countries.

Collecting science-based information and sharing experiences

The relationship between knowledge and advocacy is clear: advocacy efforts are dependent on a credible scientific basis, and without advocacy, technical knowledge will only ever reach a limited audience. In the WASH Campaign, the work of various thematic groups, networks and other initiatives of the Council will be reoriented to include activities for collating, distilling and abstracting science-based knowledge for wider audiences beyond technical professionals. Best practices in knowledge management and networking are being harnessed to facilitate the process of gathering, packaging and disseminating this knowledge. Information will also be collected and exchanged on people's own initiatives and field experiences, as well as innovative practices by communities in finding solutions.

Voices of the People

One of the key advocacy tools for the campaign will be a provocative "People's Report" on sanitation and hygiene to be released during the Water Supply and Sanitation Collaborative Council's First Global WASH Forum in Dakar, Senegal, in 2004.

Working with an informed and responsible media

Mass media play a valuable role in influencing the public opinion and when they devote space and time to water, sanitation and hygiene, these become legitimate topics of the public's agenda. Politicians and other elected officials recognise that the media are arenas for advocacy and, whether in the form of an editorial, radio or TV broadcast, video or newspaper article, they can shape and influence policies and even allocate resources for specific activities. Dissemination of information and interactions among people, for which mass media have a clear role to play are widely accepted as the keys to facilitate the conversion of knowledge to beliefs, attitudes and actions. The WSSCC believes in forging partnerships with the media, through outreach and regular contacts with journalists and their associations, press conferences and briefings, via Internet-based media, dissemination of materials, co-productions on video news releases, radio and TV documentaries and by training both experts and journalists to engender responsible and accurate coverage of water and sanitation issues. Through the WASH Campaign, the Council will encourage and rely on these partnerships to spread the right messages to target audiences and to enhance dialogues at local, regional and global levels.[79]

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79 Gorre-Dale, Eirah for Water Supply and Sanitation Collaborative Council 2001 and 2002

The 'Insider' approach: Zambia

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

Through co-operating with the JICA programme on 'software' provision, WaterAid hopes to be able to influence JICA further, notably in two key areas: a) technology choice and the appropriateness of boreholes as the only technical option; and b) including hygiene and sanitation as part of an integrated package, rather than concentrating solely on water source provision.[80]

Demonstrating solutions in Dhaka

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

Nineteen of the originally planned 20 water points are now in operation and an additional 10 have since been completed. The loan recovery rate is satisfactory and the groups are all expected to be able to complete repayment during the agreed time schedule, after which time they will take full responsibility for management of the water point. A second phase has been planned to cover another 30 water points to be installed by DSK and a further 36 by other civil society organisations, with technical support from DSK.

The success of this pilot programme has generated interest from other civil society organisations and agencies, including UNICEF, which have begun to replicate the approach for themselves.[82]

80 Nick Burn pers. com.
81 Swiss Agency for Development and Co-operation, UNDP Water and Sanitation Program, and WaterAid.
82 UNDP Water and Sanitation Program 1997, and Matin 1999

The Karachi sewerage plan campaign

The Karachi Water and Sewerage Board had proposed the development of a sewerage system for Korangi Township, to be funded largely by the Asian Development Bank (ADB) and costing US$ 95.4 million. A number of concerned Karachi civil society organisations and local Korangi community-based organisations protested that billions of rupees had already been invested in infrastructure over the last three decades and that this existing infrastructure should be integrated into the new plan. They proposed an alternative plan, based on the Orangi Pilot Project model (see Box in Section 2.3.3 above), which would develop existing disposal points and connect them to the new treatment plant, rather than constructing new ones. This alternative plan would cost only US$ 25 million and require no loan from the ADB.

In April 1999, the then Governor of Sindh agreed that the ADB loan need not be taken. The civil society organisations encouraged Korangi community-based organisations and residents to send petitions to the ADB in support of this decision. In September 1999, the ADB cancelled its loan and an alternative sewerage proposal was accepted by the Government of Sindh, at a final cost of US$ 15.18 million.[83]

Mobilising the general public: World Water Day in India

On World Water Day in 2000, the largest public celebration took place in Tamil Nadu. Over 2500 villagers, many of them women, participated in a celebration focusing on hygiene and sanitation, attended by the District Collector and other dignitaries and organised by WaterAid in collaboration with other civil society organisations. The event attracted interest from senior state and national level officials, and demonstrated public awareness and concern about water and sanitation issues.[84]

83 Hassan and Alimuddin 2000
84 Paramasivan 2000

Mobilising the general public: Açao Evangélica in Brazil

Açao Evangélica (ACEV) is an association of Pentecostal churches in Brazil involved in various development and relief projects. Alongside its well drilling programme, ACEV carries out water advocacy work. For the last 7 years they have been campaigning for a pipeline to be run from the Coremas reservoir to the Patos, São Mamede and Santa Luzia region. They have held regular public meetings with MPs, the Secretary of State for Water Resources, the Head of the State Water Board, the Mayor and Local Councillors.

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

In spite of this event, and a subsequent petition to the State Governor, ACEV have received only promises but no progress in the construction of the pipeline. However, they are not discouraged, but believe that continued pressure and demonstration of public concern will eventually lead to the building of the pipeline. Recently the State Governor made a commitment on the radio to starting work on the pipeline as soon as possible. Whilst he may not keep his promise, ACEV see this as an opportunity for leverage, to hold the authorities to a public announcement. They are also planning to hold meetings with the opposition politicians to increase the pressure in the period leading up to the state and presidential elections in 2002.[85]

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85 Tearfund 2001

The Partnership approach: the Uganda NGO Forum

At a meeting between NGOs and the government water department in 1997, concern was expressed by government representatives about the lack of co-ordination between NGOs working in the water and sanitation sector in Uganda. The role of NGOs and civil society bodies was unclear. The following year a stakeholder consultation was initiated and a dialogue held to generate support and build consensus. In February 2000, the National NGO Consultative Conference, attended by over 90 NGOs as well as local and central government, donor and private sector representatives, created a task force to establish the Uganda Water and Sanitation NGO Network (UWASNET). UWASNET was officially launched in November the same year. Its mission is to strengthen the co-ordination, collaboration and networking between NGOs and Community-Based Organisations (CBOs) and all other stakeholders in the water and sanitation sector in Uganda.

The objectives of UWASNET are to:

• strengthen the collaboration between NGOs and CBOs with central and local government
• promote partnerships between NGOs, CBOs and other stakeholders in the water and sanitation sector in Uganda.
• strengthen co-ordination and networking among NGOs and CBOs at the local, national, regional and global levels
• contribute to the development and implementation of sector policies, strategies, standards and guidelines

The Network raises the profile of NGOs in the sector, facilitating their contribution to key policy processes (for example the drawing up of the national Poverty Eradication Action Plan), and strengthening their advocacy voice.[86]

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86 UWASNET brochure 2001

2.9 Selecting advocacy tools

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

Choosing advocacy tools: how are *you* influenced?

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

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

Step 2: Participants list the following:

• What was your final decision?
• What was the competing information?
• What information convinced you to change your mind?
• What means or media was used for the information to reach you?
• Why did you believe it?

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

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

This exercise helps participants to understand that each decision-maker will be influenced more by some methods than by others, and that in many cases a range of appropriate methods can have the greatest effect.[87]

Some of the most common advocacy tools are as follows:
• Lobbying
• Meetings
• Negotiation
• Project and other visits
• Reports
• Letter writing
• Petitions
• Video and audio cassettes
• Leaflets, information packs and press kits, newsletters and posters
• Drama/theatre
• Artists, entertainers and celebrities
• Events
• Speeches/presentations
• Slides
• Email/internet
• Mass media: TV, radio, press
• Press conferences, media briefings

87 BOND 2000

Section 2: **How to do it**

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

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

Key: +++ high score
     --- low score

Source: Burke 1999.

When drawing up your advocacy plan, you will need to identify which tools you will use in relation to each of your advocacy targets and 'influentials', for each objective. The following paragraphs deal in turn with each of the advocacy tools listed above, defining what they are and outlining helpful tips (the mass media is covered by a separate section, 2.10, below). Many of them overlap or are used in conjunction with each other – for example, you can use *negotiation* skills in a *meeting* in order to *lobby* your MP.

2.9.1 Lobbying

Lobbying can be defined as *'trying to influence the policy process by working closely with the individuals in political and governmental structures'.*[88] When lobbying targets, remember:

- **'the bus is crowded'**: government decision-makers are lobbied by many different groups: how will you stand out from the crowd?

- choose **objectives** which are **achievable**
- **prepare a plan of action**; build a strong case; identify precise policies which need changing; contact like-minded organisations for potential collaboration and support; formulate the proposal and request a meeting with the targeted individual
- **prepare a strategy to get yourself and the issue heard**: locate crucial person A and the people who influence A; locate key officials sympathetic to the proposal, try it out on them and get ideas how best to influence A from them; invite influential officers to visit your programme to familiarise themselves with your work; use the media to create a favourable climate for your proposal; make contingency plans in case your proposal is rejected
- **follow through** if your proposal is accepted: suggest a drafting committee is established with a representative from your organisation; offer your organisation's services to assist the officer responsible for

implementing change; if your formal offers are rejected, keep informal contact; follow through all procedural levels until policy change becomes a reality at all levels

• **thank everyone** involved[89]

Lobbying often focuses on working with elected representatives such as MPs and councillors to encourage them to give their support to your cause. As their public profile is important for their re-election, elected representatives are generally more responsive to issues backed by large numbers of people in their constituency or to issues which are top-ical in the local or national press. Before approaching your MP, you need to know where they – and their party – stand on your issue, and whether they hold any specific responsibilities in that area (committee membership, spokesperson etc.). You may arrange to meet your MP by writing to them, listing the key points you would like to discuss. Ensure that you have the necessary research to back up your case, and be clear about what action you are asking them to take, such as asking a question during a parliamentary session, or writing to the minister involved.

Lobbying your MP: points to bear in mind

'Above all, when lobbying, be polite, listen intently to the person you are lobbying, and try to pick up his or her real feelings about the issue. Some politicians are very good at just being a member of the parliamentary or municipal 'club' – they may sound sympathetic, but really only want a quiet life and the status of office. On the other hand, many politicians are dedicated, committed and sensitive to public opinion. Many are massively overworked and most will be grateful that you have taken the time to plan your case so that you save them time and energy'.[90]

Glossary of Parliamentary Terms

This glossary is based on the UK parliamentary system, but many of the terms will equally apply in other countries:

Act a bill becomes an act once it receives royal assent.
Bill written by parliamentary drafters when the government decides legislation is needed. A bill must go through both houses of parliament before becoming a new law (Act).
Cabinet group of about 20 senior ministers who run the departments of state and decide on government policy.
Committee stage when the bill is looked at line by line, clause by clause and amendments are made.
Early day motions (EDMs) MPs can sign this printed statement showing their support for the issue at hand and calling for government action.
First reading when a bill is printed and announced in parliament.
Green paper a consultation document introducing policy proposals.

89 BOND 2000, based on Holland 1998
90 Wilson 1993

House of Commons 'the most important political institution in Britain'. It scrutinises and approves legislation.

House of Lords the 'upper house' of parliament where the Queen's speech is delivered; currently under reform.

Parliamentary questions asked by MPs to relevant secretary of state. Oral questions are best for gaining publicity for an issue. Written questions are used to obtain information and statistics from government departments.

Private member's bill proposal for legislation which is introduced by an individual MP or peer.

Queen's speech when the Queen announces what bills the government intends to put before parliament in the next session.

Report stage major debate when changes that have been made by the committee are looked at. Considerations for farther amendment can be suggested.

Royal assent the final stage of legislation when the Royal seal of approval is formally given and a bill becomes an act.

Second reading when the general principles of a bill are debated in parliament for the first time.

Select committees produce reports with recommendations for government action. They have investigative powers and present conclusions to the House of Commons. They can call on non-government organisations to submit information for reports and investigations.

Shadow cabinet the group of senior ministers from the chief opposition party who would form the government if they came into power after a general election.

Standing committee scrutinises proposals for legislation. In the Commons, the standing committee is made up of between 18 and 40 MPs.

Third reading the final opportunity for debating a bill in its amended form.

White Paper consultation document often outlining proposed legislation.[91]

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91 Amnesty International UK
    branch: www.amnesty.org.uk

The 'Block Bork' campaign: an example of targeted lobbying

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

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

Lobbying local government: an example from the UK

'A Leicester campaign group enquired about the possibility of banning genetically modified (GM) foods in school meals at the education committee in March 1998. First they carried out a street poll in the city centre encouraging parents to write to councillors. The results were sent to the leader of Leicester Council, asking for the removal of GM foods from school menus. The campaign group then issued press releases, gaining press coverage. Letters were sent to all the members of the education committee with arguments about health and environmental safety, and asking for a policy review at the next meeting. At this meeting the question of safety was again raised and the committee agreed to investigate. The local paper picked up on this with a front page story and supportive leader column. Two days before a policy decision, a school gate poll was organised, with 91% opposition shown to GM food in school meals. On 1 February 1999, the education committee made the decision to ban GM food from the city's school meals'.[93]

92 Advocacy Institute, 1990, p30
93 Friends of the Earth 2000

2.9.2 Meetings

Meetings are a key advocacy tool, often used as part of a lobbying strategy with elected representatives or other decision makers. Some hints for conducting a meeting are as follows:

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

▸ open the meeting by praising the decision maker for their past support (if true)

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

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

▸ present the most important points first

▸ give the decision maker time to talk

▸ anticipate the counter arguments which the decision maker may make and have your answers prepared

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

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

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

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

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

▸ follow up with a thank-you letter, confirming what was agreed[94]

Public meetings and events are discussed in Section 2.9.12 below.

2.9.3 Negotiation

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

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

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

• decide beforehand which points you are willing to 'trade away' and which you are not

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

• listen fully to the other person

• use consistent body language: keep your voice calm and regular, be conscious of what your demeanour and tone are indicating

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

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

• alliances, particularly with influential groups or individuals, can strengthen a negotiating position

• information can be a powerful negotiating tool. Case studies, statistics, facts and figures are all persuasive.

• bargain: 'this is what I need. If I give you x, what are you prepared to offer?'[95]

94 Based on Sharma, no date, p100 and BOND 2000

95 Based on Global Women in Politics 1997, p51 and SCF 2000, p50.

Negotiation skills: simulation game

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

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

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

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

Step 4: Participants come back together again and discuss the following:
• what was the process involved in deciding a minimum and maximum position?
• what happened in the negotiating groups?
• which interest group gained the most and why?

As well as a useful way of practising negotiation skills, this exercise can also be used by advocacy teams to develop a real negotiating position on a particular issue.[96]

2.9.4 Project and other visits

Project visits are a key tool for what is sometimes called 'good practice advocacy', in which government or other agencies are encouraged to improve their programmes by seeing a positive example of alternative practice. Visits may be made simply to a community and not only to a 'project'. As well as demonstrating good practice, visits can also be organised to show the full extent of the problem or issue. If you can get them on the spot, many decision-makers will respond favourably when confronted with the reality of the problem on the ground, for example seeing for themselves the poor sanitation conditions that many slum dwellers are living with. Visits can be a very effective tool in convincing sceptical decision-makers, and also have the advantage of providing an opportunity for community members to speak on their own behalf. On the other hand, only a limited number of people can take part in a visit (compared to, say, reading a report), and it requires a minimum commitment of time and interest on the part of the decision-makers which senior officials may not be willing to make. When organizing field or project visits, invite local journalists to accompany the senior official to ensure coverage as well as provide a first-hand look and exposure to real issues affecting the community.

96 Based on Global Women in Politics 1997, p51.

Seeing is believing: using visits to make the case in Nigeria and Ghana

Guinea worm disease is a major cause of disability and tetanus around the world. In Nigeria and Ghana, national campaigns were formed to tackle the disease and its causes. At national level, the role of the Heads of State and government ministers proved crucial in focusing attention on the issue. In Ghana, the Head of State visited 21 endemic villages in the Northern Region soon after the campaign began. In Nigeria, the State Commissioner of Health in Kwarea watched a guinea worm being extracted, and then took the worm with him to show the military governor of the state. The Governor immediately approved the money for a well.[97]

2.9.5 Reports

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

As the SCF advocacy handbook notes: *'too many organisations put too many resources into publishing long, dense reports that few people will have the time to read. Often the more important the person, the less time they may have to read each document. Short, clear summaries are vital. They must catch the attention and quickly communicate the key points'.*[98] Most reports contain an executive summary (which is often the only part of a report actually read). However, a report destined to be read by an advocacy target or influential should also contain a brief list of the key points (only 3 or 4), describing the action that you want your target to undertake. These points should be based on the same SMART criteria that are used in drawing up objectives: Specific; Measurable; Achievable; Relevant; and Time-bound.

For a report to be an effective tool, you need to have decided the exact use to which it will be put before it is written, as well as strategies for disseminating it. One option is to 'launch' the report, with a press conference (see below under Media for more details on press conferences).

2.9.6 Letter writing

Letter writing can be a useful advocacy tool, but like all the other tools needs to be carefully planned and targeted. Public figures receive hundreds of letters, so you need to be sure that you are targeting the right audience, that it is the most appropriate way to get your message across and that your letter gets noticed among the many others. Letter writing may be best used in conjunction with other tools – for example to raise the issue with your advocacy target, prior to requesting a face-to-face meeting. Some tips for letter writing are as follows:
- be brief, no more than one or two pages, although documents or other materials can be attached
- your tone should be firm but courteous, no threats, and you should feel comfortable with the letter being made public
- after a brief introductory paragraph, state clearly the purpose of the communication
- try to mention something on which you agree with the recipient of the letter (establishing common ground)
- correct your spelling and punctuation

97 Gorre-Dale, Eirah et al 1994
98 Save the Children Fund 2000, p46.

- always keep a copy of your letter
- all signers should receive a copy
- it is often useful to send copies to other influential actors[99]

2.9.7 Petitions

A petition is a useful way of demonstrating to your advocacy targets that a large number of people (usually the general public) support your cause. The number of signatories has to be significant however in order for your petition to have an effect – this number will vary according to the scale of the problem and the scope of your advocacy work. Obtaining signatures from a large proportion of the residents of a particular locality may be most effective in lobbying a local decision-maker, and may even have a greater impact on a national figure than the same number of signatures from scattered locations across the country. A petition has considerable publicity potential, so ensure that you plan to make the most of it. One way of doing this is to arrange to hand the petition over to a local MP or celebrity, making sure you invite the local/national media (television/newspaper) to generate publicity around your cause as well as increasing the pressure on decision-makers to respond to your requests.

2.9.8 Leaflets, information packs and press kits, newsletters and posters[101]

As with any written output, you need to be sure that your target will read any leaflets, information packs or newsletter that you produce. Once you have decided that this is an appropriate tool, you need to design it in a way that will have the maximum impact on

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The 'Water Matters' petition[100]

The Water Matters campaign was initiated by Tearfund and WaterAid, to petition the UK Prime Minister to ensure that water and sanitation issues were high on the agenda at the World Summit on Sustainable Development.

The petition launch was attended by a key celebrity (Fay Ripley) together with some Members of Parliament, and covered by regional newspapers and radio. The paper petition was mailed to all supporters and promoted at events such as the Glastonbury music festival, within companies, in schools and inserted into magazines. An electronic version of the petition was posted on the Water Matters website, with direct links from Tearfund and WaterAid's own websites. It was further promoted by the use of a celebrity-endorsed email sent to all supporters, who were requested to forward the petition to their own email contacts.

Part way through the campaign WaterAid and Tearfund released a report on sanitation issues. This report brought together the findings of the two organisations' research on the issue into an accessible format for journalists and was quoted in the UK Guardian newspaper and on Radio 4's Today programme (a current affairs programme).

During the year-long campaign a total of 121,770 signatures were collected. The completed petition was presented to the UK Deputy Prime Minister, John Prescott on the

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99 BOND 2000
100 Partly based on Wilson 1993
101 Partly based on IPPF 1995 and Wilson 1993.

steps of the Prime Minister's residence in Downing Street, London, a week before the World Summit began.

Speaking from the steps of No. 10 Downing Street, John Prescott said: "Nearly a quarter of a million people are dying every month because they lack safe water – that's equivalent to the number of people in my Hull constituency. This startling fact is simply unacceptable." He added: "The Summit is not about a hotel room, not about how you fly, it's about stopping children dying unnecessarily because we can't organise access to safe water. So I'm delighted to receive this petition today."

This quote from John Prescott was then used in further publicity material, posted on the WaterMatters website and used in later press releases and appeals.

your audience. The following points should be borne in mind when planning a leaflet or newsletter:

• your headings should be eye-catching while avoiding the sensational
• as with letter writing, you should ensure that all the spelling and punctuation is correct, and that the presentation is as neat and high quality as possible
• the content should include a simple presentation of the facts relating to your advocacy issue, and a clear statement of what you want your audience to do about it
• how you distribute the leaflets or news sheets will again depend on your target audience and the resources you have available. Obviously, the wider the distribution, the greater the potential impact. If you have very limited resources, you may decide to target the distribution very specifically to key audiences (or to select a different tool)

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

• the purpose of the poster: is it promotional or is it going to communicate a hard-hitting message
• who the poster is aimed at: is it targeting a particular group or age-range
• where will it be displayed: your design will vary depending on whether you anticipate the poster will be on a notice board among many other posters, or will be read/noticed from a distance etc
• how will it be reproduced (e.g. photocopying, printing?): how many colours can you use; are there photographs/images that you must include; are there logos to be included
• how people will know who is talking to them: what details, phone numbers and web addresses etc will be included
• how much text will you include: choose a typeface which is easy to read and use different sizes and bold for variety

2.9.9 Video and audio cassettes[102]

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

Although traditionally a form of one-way dissemination of information or ideas, video does have the potential to be more participatory. During video recording the camera can be 'handed over' so that people are free to record what they feel is important. In advocacy work, video may provide the opportunity for grassroots communities' voices to be heard in forums that they cannot reach in person.

A short (8–10 minute), high-quality video, or video news release (VNR) or film clip produced by a communication professional will attract coverage particularly from the broadcast media. The videos or VNRs can also be screened during "Open Days" or at special events organized around the World Day for Water. (See more in the Special Events Section below)[103]

Audio cassettes share some of the benefits and drawbacks of video but are cheaper to produce and disseminate than video cassettes. Like radio (see below), they are more widely accessible than TV/video and hence may be a useful tool for mobilising the general public, rather than for targeting decision-makers.

2.9.10 Drama and theatre[104]

Drama provides the opportunity to present facts and issues in an entertaining, culturally sensitive and accessible way. In many societies, drama is a form of indigenous communication through which people can comfortably express their views. For example, drama can in-

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Mobilising broadcasters and the public

Stations or networks marking the World Day for Water could:
* Plan special programmes or features on WASH-related topics;
* Hold a TV or radio roundtable discussion featuring experts and celebrities;
* Film or air 30/60 second spots to raise awareness of WASH issues affecting the community;
* Set up a hotline to attract the participation of viewers and listeners.

WASH Co-ordinators and partners could:
* Organize a concert or music festival during the World Day for Water and air the event
* Hold a poster or art competition and use the winning entries as part of the publicity for the Day;
* Work with your postal authority to Issue a series of commemorative stamps on selected themes.

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102 Burke 1999
103 Gorre-Dale, Eirah. Adapted from "Weather and the Media: A Press Relations Guide," WMO, 1997
104 Burke 1999

volve village communities acting out their concerns or viewpoints. However, the number of people reached is limited compared to other means, and some critics suggest that it can trivialise serious issues. A good example of community-organized theatre presentations can be found in Mozambique. With UNICEF support, slum residents in Maputo were trained to act out dramas depicting diarrhoeal disease and interventions which helped to spread WASH messages, thus helping to bring down mortality and disease rates in the area.*

2.9.11 Artists, entertainers and celebrities

Artists, entertainers and celebrities can contribute to advocacy work, particularly in raising the awareness of the general public, in order to put pressure on decision-makers. 'The powerful appeal of public personalities who are considered credible and trustworthy sources of information can attract millions of audiences, stimulate news coverage of the issues and generate profits for both the entertainer and the sponsors. This 'entertain-educate' approach, with effective performances by entertainers incorporates the 5 Ps: personal, popular, pervasive, persuasive and profitable. In addition to performers, a variety of personalities and other artists, such as painters, puppeteers, cartoonists and folk story tellers, can make outstanding contributions to communicating basic advocacy messages by transforming them into specific forms: soap operas, dramas, paintings, comic strips, music and other forms of artistic expression.'[105] Celebrities can also play a useful role in raising the profile of individual events. The challenge when using famous people to raise the profile of your advocacy work or to attract people to a particular event is to ensure that this is part of a wider, well-thought out advocacy plan. Involving a celebrity may successfully raise the profile of your issue but without adequate planning beforehand, you may be unable to continue the momentum because of lack of materials to back up your case, lack of plans for subsequent activities, or the absence of specific advocacy objectives that you want decision-makers to meet. Extra care should also be given to selecting the celebrity or personality as his or her public demeanour, comportment and rapport with audiences can either 'make or break' your advocacy efforts.

International figure raises profile of campaign

The success of the Guinea-worm campaign in Nigeria and Ghana, described elsewhere in this Sourcebook, has been greatly facilitated by the involvement of former US President Jimmy Carter, who helped to mobilise resources and raise the profile of the campaign internationally. His global reputation enabled him to open doors which a lower profile campaign may have struggled to do, for example inviting heads of state and government ministers to view a video film outlining the problem and holding discussions with them on what could be done to eradicate the disease in their countries.[106]

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105 Gorre-Dale et al 1994
106 Gorre-Dale et al 1994

2.9.12 Special events[107]

Special events may be held for a variety of reasons: to communicate advocacy messages, to increase participation and therefore support for your advocacy, to increase pressure on a particular target, or to demonstrate the extent of support for your issue. Like all advocacy activities, events must be well planned to be effective.

Whether they are intended to publicize WASH or the WSSCC, heighten interest, forge new links with the press and public (or all three), special events require imagination and flair to create and time and energy to sustain. Where possible and if budgets allow, it is advisable to enlist the aid and talents of events or marketing professionals as well as the support of the mass media.*
As many events are aimed at attracting journalists, it is important that your event has a strong news/interest hook. Plan your publicity well in advance to promote both public interest and media attention.

World Water Day

Under a mandate from the United Nations General Assembly, this Day is celebrated worldwide each year on 22 March to raise public awareness of the importance of water to sustainable development and to every day life. Many national and international agencies regularly plan activities around this Day and even during the week. For example, in 2002 in South Africa, the Department of Water Affairs and Forestry organized a series of special events during World Water Week, including the launch of the national WASH campaign, the first country to do so. To highlight the importance of WASH, the Minister for Water Affairs and Forestry, Ronnie Kasrils and the WSSCC Executive Director, Gourisankar Ghosh, travelled to the remote province of Kwa-Zulu Natal, where cholera had struck. This emphasized the crucial link between health and WASH issues among the rural communities. In addition, during the week the first-ever "Women in Water Awards" were given to 14 distinguished women from all walks of life, who had contributed to the country's efforts in mobilizing support for water, sanitation and hygiene. Journalists were also invited to these and other events which received prominent media coverage and stimulated press interest in the World Summit on Sustainable Development that was to held in the country that August/September in Johannesburg. **

An event may involve large numbers of people, such as a demonstration, rally, or public meeting, or on the other hand may be an action or photo stunt where the primary objective is media coverage. The basic steps for organising an event remain the same, however. You need to be clear:

- why you are holding the event
- who you are targeting
- what kind of event it will be, and why
- when the most appropriate time is
- how much it will cost

As many events are aimed at attracting the media, it is important that your event has a strong news/interest hook. Plan your publicity well in advance to promote both public interest and media attention.

You may choose to begin a particular advocacy initiative or campaign with a launch. This brings your activities to the attention of the public and media, and therefore must be very well organised and co-ordinated. A launch would usually involve a press conference and media briefings (see below under 2.10 Mass Media for more information on press confer-

107 Partly based on Friends of the Earth 2000

ences), but may also include a reception for invited guests. These could include sympa- thetic MPs or other politicians and 'influentials' as well as the media.

Tips for planning a rally, march or walk

Choosing a site:
- check public access and rights of way
- check if permission is needed from the landowner or council or other local au- thorities. You should also contact any local people who might be inconvenienced
- liase with the police about access routes to and from the site
- check the distance of the march/walk/rally, and the terrain
- check the start and how to get there. Check the availability of public transport and if necessary organise transport to ferry participants to the site or start of the route

The route:
- organise signs and route markers
- organise refreshments and food concessions (don't forget water supply)
- check access to toilets
- hire staging and PA system
- consider whether you want to set up information stalls
- ensure you have first aid provision
- recruit stewards who should be easily identifiable
- organise something for people to do, such as signing a petition or postcards
- organise recycling points for litter[108]

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108 Friends of the Earth 2000

Examples of water and sanitation 'sound bites'

The IRC's website contains some example 'sound bites' on water and sanitation issues for advocacy workers to use in connection with World Water Day, for example in a media interview. They provide a useful basis for developing concise and hard-hitting messages:

- one quarter of the world's population already live in a water-stress area
- 3.4 million people, mostly children, die annually from water-related diseases
- diarrhoeal diseases, including cholera, account for two million deaths annually
- 1 million people die each year from malaria
- 2.4 billion people are without access to any sort of basic sanitation facility
- unsafe water is a breeding ground of disease and poverty
- water is a basic human right
- water-related infections are a major cause of mortality in the developing countries of the South
- more than one billion people do not have access to improved drinking water sources
- in poor countries, diarrhoea is a major killer[109]

2.9.13 Speeches/presentations[110]

Public speeches and presentations, like all advocacy tools, must be well prepared in advance. Key points to note in preparing for public speaking include:

- get a clear understanding of the nature of the occasion, the audience, the other speakers and what they intend to do
- prepare an outline of what you want to say, so that your speech has a clear structure
- don't go on for too long and don't continue beyond your allotted time – hardly any speeches are too short, most are too long
- don't be over-emotional
- prepare a list of the 20 most awkward questions you could expect and jot down some answers
- be friendly and good-humoured
- adapt your speech to the circumstances on every occasion

- ensure your visual aids are well prepared and as professional as possible, and practise using them

2.9.14 Slides

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

2.9.15 Email/Internet

Access to electronic mail and the Internet varies enormously. Some audiences use it on

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109 International Water and Sanitation Centre: www.irc.nl
110 Based on Wilson 1993

a daily basis, for many others it is an unknown medium. These tools are therefore only appropriate for certain audiences.

Email is a useful way of mailing a large number of people quickly and cheaply, although it must be borne in mind that it is generally considered a less formal means of communication than a written letter. Items posted on the Internet will only be seen by those people with Internet access who regularly browse or search on the web. Within these audiences however, there is great potential for interaction, through email or on-line forums, so that greater participation and debate can be achieved.

2.10 The Mass Media

The mass media (television, radio and press – newspapers and magazines) play a significant part in advocacy, through influencing policy makers directly or through changing public opinion on an issue, so that the general public then put pressure on decision makers. They can therefore play the dual role of a target/'influential' and at the same time an advocacy tool.

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

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

- Which publications or programmes already cover your issue or similar issues? How do they pick up new stories?
- How free are they to say what they think (is there censorship)?
- What is the style and format of the various programmes/publications and how can you fit in with this?
- How can you contact them?

The media tends to use 'stories' which they think will interest the public. They focus on up-to-date news, so you need to be aware that a sudden catastrophe or unexpected event may overshadow or push out your carefully presented item. Similarly, should an unexpected event occur in your own advocacy work, you need to be able to react quickly to media interest.

The national and international media are supported by news agencies, which produce dispatches that go out to all the newspapers, magazines, radio stations and television networks. Chief among the international agencies are Associated Press (AP) and Reuters. These agencies are particularly interested in good photograph opportunities, as these are very 'sellable'. . In most countries, there is always a Press or Journalists Association which publishes a membership directory that can be a valuable source of information. Where possible, personal contacts with journalists are preferable to e-mail or telephone as a way of developing rapport and for determining special interests and story angles.

The most common means of giving information to the media, whether broadcast or print media, is the Press Release (see the Box at the end of this section for guidelines on how to write a press release).

Good media relations are rooted in availability and trust. Journalists need immediate and unimpeded access to sources of information and to be able to rely on the veracity of that information if they are to get a story that is both interesting and accurate.

Like you, reporters are busy. Like you, they work against the clock. A breaking story about a cholera epidemic means reporters will need your input when you are at your busiest. Don't be abrupt, don't say you are too busy and above all, don't hang up the phone or leave them waiting: help them. It is possible that a journalist is covering a WASH-related story for the first time and is unfamiliar with technical terms. Taking time to explain them briefly will help ensure accuracy as well as understanding. Remember, the reporter will probably be quoting you by name. Furthermore, stressing the significance – or lack

of it – of unavoidable technical language could underpin the integrity of both your comments and the good name of your institution or the WSSCC. Whenever possible, technical and ambiguous terminology which might be misinterpreted or misunderstood should b e avoided.[111]

2.10.1 Television

Television has a number of advantages and disadvantages. On the positive side, it reaches an increasing number of people in some countries: *between 1965 and 1991 there was a 400% increase in TVs in developing countries – from 38.8 per 1000 people to 185 per thousand.* TV programmes, in particular news and current affairs, often reach key decision makers and can influence national agendas. The main drawback in using television in advocacy however is the fact that large numbers of people are excluded from access to television, in particular in sub-Saharan Africa: in 1991 there were only 29.8 TVs per 1000 people in sub-Saharan Africa, excluding South Africa. If you decide to make your own television programme, it can be very costly – often over twenty times the cost of making a radio programme.[112]

If your advocacy activities are well promoted to the media (for example through press releases and press conferences and media briefings) you may be asked for interviews by a television journalist in order to contribute to a news programme or feature in a documentary. If the interview is pre-recorded, this has the advantage of allowing you to think about your replies and to begin again if you make a mistake. However, you cannot control which of your remarks they choose to use and how they edit the interview. Live interviews, on the other hand, mean you can be sure that what you say is used, but you will need more confidence in your responses to

111 Gorre-Dale, Eirah, 1997
112 Gorre-Dale, Eirah, 1997.

get it right first time. Though good and friendly relations with the media are vital, a word of warning is necessary: a reporter is a reporter 24 hours a day, seven days a week. Confidential material and sensitive matters arise in all organizations and off-guard remarks could become news, either big or small but just as unwelcome. Something you might say in confidence could conceivably be material for a story at some other time.[113]

The most important technique for TV, radio interviews and also for print media is to decide beforehand what your key points are (keep it to a small number so that you can remember them without referring to your notes) and make sure that you have made these points somewhere in the interview. Try to turn the questions you are posed into opportunities to present these key points. If you can prepare a few 'sound bites' in advance, they will help to make your statements memorable, for example: "The decision to not send Mr Meacher (UK Environment Minister) to the World Summit on Sustainable Development is like leaving David Beckham (footballer) off the England squad." Humour is also a good way to make your case without appearing aggressive and is more likely to make the public remember you. (See also box on Tips on Preparing for TV and Radio Interviews below).

2.10.2 Radio[114]

Some of the advantages of using radio are as follows:

- radio reaches a wider audience than any other medium: there are an estimated 94 radios per thousand people in the least developed countries, ten times the number of televisions[115]

- radio can motivate people by building on oral traditions and stimulate the imagination better than video or television
- radio programmes are cheap to make compared to television and video
- radio receivers are widely available, comparatively cheap and portable making them convenient for listeners
- radio can reach people who are isolated by language, geography, conflict, illiteracy and poverty
- radio can help create a demand for services and convey vital information
- radio gives listeners the opportunity to make informed choices about decisions, and can give them greater self-determination over their lives

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

▶ radio is a transitory medium: information may not be retained by listeners who cannot ask for the information to be repeated or clarified
▶ in the wrong hands radio can heighten people's fears and prejudices
▶ many people lack access to electricity and batteries are expensive
▶ radio is generally a one-way medium: it offers no immediate opportunity to ask questions or to respond

The techniques for giving radio interviews are similar to those for TV interviews described above, although you may use a prompt sheet of key points or statistics as long as you do not read verbatim or rustle any paper.

The TV camera commands respect and sees all: dress, posture, body language, facial expressions – and that could be before you even say anything. Radio interviews too, can

113 Ibid.
114 Burke, op. cit.
115 Burke, op. cit.

reveal many flaws. In both, a conversational style of speaking is attractive and persuasive, but speaking on radio and TV at your usual speed might sound too fast. Make a tape and listen to yourself. Even people with no voice or broadcast training can quickly learn to modulate their speech. The other most common mistakes are pitching the voice too high and dropping the voice to almost a mumble at the end of sentences. Do not fake a voice or over-modulate in order to tape what you think a radio voice should sound like. Instead, focus on trying to make people listen to you. Enunciate without losing your normal manner of speaking.

Broadcast interviews take several different forms: formal *one-on-ones* in a studio or at your office; *panel appearances* with two or three other participants; *stand-ups* outside conference room or in the street; and *remotes* with the interviewer in one location and the subject in another.

Preparing for the interview

For many, being interviewed by a journalist can be a daunting experience. There is often a fear of being misquoted or quoted out of context. Once the interview has been set up, approach it as you would a conversation with any intelligent person and take the time to patiently explain any complex technical or scientific terminology. As with any pre-arranged interview, it is important to be well prepared: know your subject; have facts and figures at hand; and have a message or theme ready to weave into your answers. Make it brief but powerful. Do not waste words or you may lose your audience. Don't forget that in radio and TV interviews – even those that are not live – you cannot break off and resume at will. Keep your answers simple and avoid using jargon or complicated concepts.

On TV, it is important to stay calm and look relaxed. The interviewee should try and feel as comfortable in front of the camera as possible. This can entail sitting alongside a desk or even leaning slightly against a railing rather than standing militarily erect. Do not let yourself be "pinned down" by the camera. Allow yourself normal gestures and blink naturally and regularly.

Appearance is also important. In all the set pieces, listen to what is being said. Do not be preoccupied with what you say next. Listen to the questions and look at the interviewer, not at the camera. Take care with your facial expressions. Contempt, ridicule or anger is easily conveyed; the camera picks up every detail of your face and body language. Never lose your temper. You may have a good reason to be angry with hostile questioning or with an argumentative panellist in a round-table debate. Remember, you have a right to a rebuttal, but stay calm and respond firmly but politely.

What you do with your hands and feet is also important. Never stab your finger at anybody. When seated, rest your arms on chair-arms or lightly on the table in front of you. Placing your hands in your lap is acceptable but be careful not to clench your fingers. There is no easier way to show tension than to display clenched knuckles. If not seated at a table, cross your feet at the ankles.

When interviewed in a stand-up outside a conference room or on the street, keep your hands lightly at your sides or carry some papers. Place your feet slightly apart to avoid swaying to and fro or from side to side. Look at the interviewer and gesticulate to emphasize a point, but not wildly. What you say is obviously of the greatest importance, but HOW

you come across on camera can make or break the interview.

Remotes – where you are alone in one place and the interviewer is in another – can be disconcerting. Once again, listen to what is being said. Almost always someone will tell you what to do. You may be left alone in a room with a camera. In this case, look at the camera throughout the interview. Do not look around. You may have to wear an earpiece to hear what is being asked. Camera lighting can be a nuisance, but it is unavoidable. Lights are very bright and often hot in an enclosed space. Do not be tempted to wear sunglasses or to shield eyes with your hand. TV interviews do not normally last long. Because of lighting conditions, most TV studios will insist on make-up. They can also advise on which type of clothing and colours look good and those that are suitable for television.

Private interviews/exclusives:

Known in the profession as one-on-ones or exclusives, the private interview is carried out under a totally different set of ground rules – some mutually beneficial to you and the reporter, and others that favour one more than the other. You will also need to be even-handed with the media in granting them. Frequently, favouring prestigious newspaper or broadcast networks over lesser known news outlets causes resentment and damages your and your organization's reputation for fairness.

While it is acceptable to ask a reporter in advance the general them of his or her questions, to receive the actual questions beforehand is rare and most often, the request is not appreciated. In principle, journalists do not like to do this as it could ruin the spontaneity of the responses. Unexpected, last-minute requests for a private interview are trickier. If possible, and without losing the opportunity entirely, do delay the interview and give you time to gather your thoughts, facts and figures.

One-on-ones can last up to an hour. This can be done in your office but broadcasters occasionally need to tape an interview in their own studios. A theme, message or messages should be developed when preparing for an interview. If it is in connection with the launching of a new report, special event or conference, the themes and messages would be obvious. However If there is a variety of correspondents, it is advisable for the interviewee to change the theme with each one or tailor the responses to the national, regional or hemispheric origins of the publication or broadcast station carrying the interview.[116]

2.10.3 Press

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

Press releases can provide different functions, as follows:
• give advance notice of an event
• provide a report of a meeting
• convey decisions

116 Gorre-Dale, Eirah, 1997.

- announce new campaigns and provide progress reports
- given general background information
- give details of a report
- circulate speeches in advance[117]

A press release gives you the opportunity of presenting your viewpoint directly to the press without its being filtered through any-one else, and at the time that you choose. Press releases usually follow a standard for-mat, which enables journalists and editors to access relevant information quickly and easi-ly.[118] Most press releases are only as success-ful as the time spent chasing the journalist. A telephone call straight after (or before) send-ing it can make all the difference.

Press conferences and media briefings

The basic rule for press conferences is to have something significant to announce and somebody significant to announce it. The ideal press conference lasts not more than 30 min-utes and consists of a brief (5-minute) intro-duction and opening statement, followed by questions-and-answers. It is best not to crowd the dais. The head of an organization or well-known expert and another guest should be accompanied by a Media Spokes-person who should open and close the pro-ceedings, moderate the question-and-answer session and be the focal point for individual interviews after the press conference.

Prior to the press conference, the venue of which should be announced at least three or four days in advance through a Media Alert or Media Advisory, a dozen or so of the most difficult questions that could be expected should be prepared (with answers) – partic-ularly if the statement is considered contro-versial or sensitive. Answers to all questions must be succinct. It is considered by some that answering at length forestalls antagonis-tic questions, which is wrong. Not only do unanswered hostile questions keep coming back, but to digress is to be accused of avoid-ing the question, or worse, covering up. A hostile question can be neutralized by taking its essence and rephrasing it in positive tones for the audience. Looking around the room without making eye contact again with your antagonist, while delivering the rephrased question both isolates your questioner and dilutes his/her anger. This strategy is a difficult by effective one.[119]

A press conference or media briefing is an opportunity to present your case to the press face-to-face, rather than relying on a press re-lease. A press conference however needs an event to focus on – the launch of a campaign, the publishing of a report, a publicity event – in other words, something to announce: *'the most important part of a press conference is the announcement being made. Regardless of how much publicity accompanies a press con-ference, if the announcement is not newswor-thy, the coverage will be disappointing.'*[120] It is also important not to rely solely on the press conference, but to brief journalists before-hand as much as possible. If you have a good story to add, it may be best to keep this until the week after and then release it through a press release, rather than presenting all your best stories at the press conference. In this way, you can keep up the momentum of your advocacy and maintain publicity. Press con-ferences are generally held in the middle of the morning.

Whether to hold a press conference or a media briefing is really a misleading question. The only similarity is that both involve re-porters invited to consider an issue and to ask questions. But though the two are often seen as identical, the style, conduct and pur-pose of a media briefing are quite different.

117 Oxfam 1994, used with per-mission
118 Ibid.
119 Gorre-Dale, Eirah, 1997.
120 World Water Day website: www.worldwaterday.org/ad-vocacy/adv7.html.

The press conference as already mentioned above, is a setting for the brief formal announcement of a major development followed by a question-and-answer session. A media briefing usually consists of a small (five to 10 people) group of journalists selected by the organizer for their outreach, expertise and their interest in a given subject. The gathering, usually held in a small conference or office of the organizer or host institution, is more intimate. The main speaker briefs, adding background and comment before inviting not only questions but also opinions. Published stories sometimes result, but that is not necessarily the aim. The media briefing can also be a familiarization with your work or organization; an exchange of ideas, or even a press announcement of a low-key nature.[121]

Guidelines for Writing a Press Release[122]

A press release uses the five 'Ws' essential for all journalists:
- ▶ **W**hat
- ▶ **W**ho
- ▶ **W**here
- ▶ **W**hen
- ▶ **W**hy

Your press release should begin with the first four W's, thus:
- • What is happening?
- • Who is doing it?
- • Where is it happening?
- • When is it happening?

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

The component parts of a press release are as follows:

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

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

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121 Ibid.
122 From Oxfam 1994, used with permission

3. The headline

Choose a simple headline for the press release (usually a short version of the first sentence will do). Leave it to the newspaper's sub-editors to think up fancy headlines – the purpose of yours is simply to help the news editor to spot the interest in the story.

4. The embargo

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

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

The embargo can also be used to try and control the timing of the release of your news so as to secure coverage in a particular media. For example, Sunday is generally considered a weak news day. Individuals or organisations often therefore embargo stories for Sunday so they stand a good chance of getting used on Monday, rather than on the more competitive weekdays when courts, councils and parliaments are in action making news. You need to consider the time you will put on your embargo carefully. You need to know when the various papers go to press so that you will not miss the relevant deadline for inclusion at the time you would like. However, you cannot embargo an event: that is, you cannot announce in a press release that a meeting will take place at 8pm but then embargo the press release for midnight four hours later. The media has the right to use the news of an event (including for example the contents of an embargoed speech) from the moment it happens.

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

Style

Present your press release in a clear and digestible form (rather than trying to write an essay in English literature!). Keep sentences short (maximum of 25-30 words). Use the active voice where possible. For example, instead of *"a new campaign to introduce hygiene education in schools was announced by Minister of Education, David Mutisa"*, write *"Minister of Education David Mutisa announced a new campaign to introduce hygiene education in schools "*. Use direct quotations as much as possible, as most news stories are based on people.

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

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

Time the press release well. Unless it is imperative to get your material to the media immediately, arrange to distribute it (by hand, e-mail or by facsimile) when there will be maximum pick-up by the press: mid-morning to early afternoon. The WSSCC or your local institution website should upload your press release on your Homepage at the same time as the print copy is issued or in slightly in advance of it if there is no embargo.

Over-dependence or over-use of the press release can be counter-productive. Some organizations mistakenly think that, to keep up their profile with the press, they need to supply reporters with weekly or bi-monthly releases – newsworthy or not. With this approach, press releases are destined for the waste-paper bin. Worse still, busy reporters and editors subjected to this treatment might ignore you when you have **real** news. Issue a press release only when you have something **newsworthy** to announce.

One way of monitoring the impact of press releases is by subscribing to a press-cutting service. The press clips will give you an indication of which stories appealed to the media and which ones were ignored. It also provides the opportunity to react to what has been written about you or your organization. Whether the coverage was positive or negative, it can be a starting point for a dialogue with yourself and the editor or journalist who filed the story.[123]

123 Gorre-Dale, Eirah, 1997.

Working with the media: the Ghana Fact Finding Mission

The media played an important role in the campaign against the privatisation of water organised by the National Coalition against Privatisation of Water in Ghana. The key activity of the campaign was an International Fact Finding Mission, to investigate the potential impact of the government's plans for water privatisation. The Mission was carried out by 12 international experts during April and May 2002. The final report of the Mission was launched by the Coalition at a press conference at Ghana's International Press Centre in Accra in August 2002. The launch, which was attended by the general public as well as press representatives, members of civil society organisations and Coalition members, provided the opportunity for the main findings of the Mission to be presented to those present and the key issues to be highlighted. A series of regional launches was also organised, to present the findings of the report to the public and the media throughout the country.[124]

Features

Feature articles or stories may not be the life-blood of media relations, but they certainly help keep the vital links with the press healthy and dynamic. All too frequently, the feature coffers of newspapers, news agencies, magazines and broadcasters are running on empty and reporters welcome a regular supply of feature material. Feature stories will not only strengthen your working association with the media, it will help keep WASH-related issues before the public and thus shape a positive image of your institution and the campaign. The same feature articles used by the print media will also provide ideas for the shorter TV and radio pieces that are popular with broadcasters.

Feature stories do not have the immediacy of hard news and can be researched, written and circulated when you are less busy. As they are more often than not held for later publication, features should stand up for some time and not quickly become out of date. Although looked upon as 'soft' stories, feature articles should be lively in style, imaginative and written with plenty of local colour and quotes. The most successful feature is a 'human interest story'. Between 600 to 1000 words in length, the ideal feature carries a punchy headline. Graphics are important not only to illustrate the story but in providing a lay-out tool. Feature articles have often been published because of an accompanying photograph or other piece of artwork. Film or video footage alone boosts the chances of a broadcast feature being aired.[125]

General Do's and Don'ts in dealing with the media

- Do get to know your national and international media and be familiar with their deadlines and needs.
- Do be available to reporters and producers, even when you are busy.
- Do get back to them quickly, if you are out when they call.
- Do be helpful with their requests. Adding your suggestions will be appreciated.
- Do be friendly even if they are not.
- Do treat journalists with respect.
- Do use layperson's language, without jargon, and explain whenever that is impossible.
- Do be prepared and thoroughly understand your material.

124 www.southernlinks.org
125 Gorre-Dale, Eirah, 1997.

- Don't ignore media requests but respond to every call, answering personally, if possible.
- Don't lose your temper. Understand the pressures the media are under and keep cool.
- Don't say 'no comment'. It is the most negative response and is almost certainly misinterpreted. If you are unable to comment, explain why.
- Don't say anything off the record. It means it cannot be used, so why say it? Material given on a background-only basis, on the other hand, is unattributable – but check with the reporter.
- Don't switch from 'background' to 'deep background'. This term is frequently misunderstood, even among veteran reporters,

and is open to interpretation. It means unattributable and is probably unusable.
- Don't use acronyms (e.g. WSSCC or WASH) without explanation and never when speaking to a broadcast reporter, who will probably have to scrap your comments.
- Don't flood reporters, editors or producers with too much material. They have neither the time nor the inclination to read through it anyway.[126]

2.11 Assessing resources

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

As with any budgeting process, thought needs to be given in planning advocacy to what resources are required for each of the pro-

posed activities, in terms of people, materials, skills and other costs.'Some of the required skills may be available within the organisation (or alliance), while others may need to be bought in, at a cost.'However, it should be remembered that even if skills are available internally, they cannot be used without an opportunity cost to other work. Adequate staff time should therefore be allocated to advocacy activities.

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

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126 Ibid.

Example advocacy budget headings: community delegation[127]

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

For the meeting:
Transportation for community members (depending on distance to be travelled)

Accommodation (in case distance travelled means that members will need to stay the night before going home)
Refreshments (where necessary, or this could be community contribution)
Materials (any photocopying of materials to be taken to meeting needed?)
Allowance for community participants (who may miss X days of livelihood activities)

Pre-meeting:
Training of community leaders who will lead the delegation (depends on the skill/knowledge of the leaders and the complexity of topic) could include:
• hire of training venue
• transportation for leaders to go to venue
• refreshments during training
• material for training
• allowance for leaders (who may miss X days for livelihood activities)

Example advocacy budget headings: local action research

Budget for local action research on a particular issue (a pre-advocacy activity):
Fees for researchers (or per diem for staff seconded as researchers, for X days and x number of researchers, depending on organisation practice)
Travel/transportation for researchers
Accommodation and refreshments (in case researchers need to stay in the community to undertake the research)
Materials (e.g. batteries for tape recorders, cassette tapes, etc.)
Administration costs (e.g., phone calls, photocopying, and pre-visits to areato set up interviews, etc.)
Research meetings (e.g., for planning, discussing findings, etc. Cost depends on how many people need to participate in these meetings)
Production of report

Post-research costs:
Publishing of report
Public launch of report

127 With thanks to Belinda Calaguas for the sample budgets

Media activity vis-à-vis report (could include meetings with journalists, for which costs of arranging the meeting, and holding the meeting could be included)
Meetings with public officials or politicians to seek action on report
(could include administrative costs of setting up the meeting)

Community-based participatory research, additional costs:
Hire of venue for community research activities
Refreshments for community activities
Documentation materials (e.g., flipcharts/pens, camera/film)

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

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

Example advocacy budget headings: official visits to projects/communities

Budget for public officials and politicians visiting project sites/communities:
Pre-visit:
Transportation and travel to project sites to arrange visit
Cost of planning meetings with community organisation/leaders
Production of information (where necessary) that can be distributed to visiting officials
Administrative expenses (calls, faxes, meetings, etc. to arrange with officials)

During visit:
Transportation and travel of guests to project sites
Hire of venue for meetings
Refreshments for meetings, where necessary
Documentation materials (camera film, video film, etc.)

After visit:
Follow up: report or meetings, etc.

2.12 Planning for monitoring and evaluation[128]

2.12.1 Introduction

Monitoring and evaluating the impact of advocacy work is often considered to be a difficult, if not impossible task, and many on their own admission fail to carry it out as they originally planned. Nevertheless, it is a vital part of our advocacy work, if we are to learn from our mistakes, justify our expenditure, ensure accountability (both 'upwards' and 'downwards' – see Section 1.4 above) and share our experiences with others.'It is therefore an important part of the advocacy planning cycle.'When reviews are scheduled within the life span of an advocacy activity, flexibility is built in and the work can be adjusted to take account of internal and external events, changes in the policy climate, or lessons learned about the efficacy of particular techniques or approaches.'

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

- advocacy is often a long-term activity: *'policy change is often incremental and slow and implementation lags significantly behind legislative change'.*[129] It is therefore often hard to say when a significant change has occurred
- advocacy work is often carried out through networks and coalitions, making it difficult to assess the exact contribution of each organisation or group
- a variety of approaches is commonly used at the same time, some more confrontational, others based around private debate. This combination may be effective but renders the evaluation of the contribution of each approach difficult
- much advocacy work is unique with little repetition, so it is harder to accumulate knowledge than in other areas

Monitoring and evaluation involves the documentation and analysis of various levels. First there are the *inputs* you have made (time, resources, staff). Second, there are the *outputs* of the activities which you have undertaken (meetings held, visits made, reports produced etc). Third are the *outcomes*, the results of your outputs (press coverage of the issue; debates in parliament on the topic, changes in policy or practice etc). Finally, and most difficult to evaluate, is the ultimate *impact* of your work (the effect of the policy change of the lives of poor communities, for example).'A great deal of NGO and civil society monitoring and evaluation – not just of advocacy work – tends to focus on inputs and outputs, with less attention given to the more challenging but ultimately more important outcomes and impact.

When assessing the impact of advocacy work, it is important to understand the various stages of policy change. CIIR have developed a model (described in Roche 1999) of three types of impact:
1) declaratory (rhetoric, policy or legislative change);
2) implementational (changed institutional practice or procedures) and
3) capacity building.'

This categorisation illustrates the recognition that there can be a significant difference be-

128 This Section is based largely on Roche and Bush 1997 and Roche 1999. Specific quotations are referenced directly in the text. Readers are referred to these two publications for a more detailed discussion of this topic.
129 Roche and Bush 1997

tween changes in policy and their implementation in practice, and also acknowledges the importance of grassroots capacity building as a significant part of advocacy objectives. Some advocacy work may only target the implementation stage from the outset, if the policy is already in place. Roche notes that in the outworkings of this, and other models of policy change, there is inevitably a trade-off between objectives of policy change and those of capacity building, a trade-off which must be taken into account when deciding where effort should be placed.[130]

The CIIR model and additional models and frameworks are described in a scoping study carried out for ActionAid, which looks at the topic of monitoring and evaluating advocacy as part of a three year project, to be carried out jointly with partners in Ghana, Uganda, Brazil and Nepal. The scoping study is available from ActionAid's website.[131]

2.12.2 Guidelines for monitoring and evaluating advocacy work

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

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

- define your indicators for 'success' (or proxy indicators) for all your objectives (including any capacity building objectives) during the planning phase and incorporate them into your advocacy plan. Indicators should be drawn up for all aspects of the

work: inputs, outputs, outcomes and as much as possible, impact

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

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

- try to record outcomes and impact wherever possible, even though they are more difficult to tackle

- if there is no 'hard' quantitative data available for measuring outcomes and impact, record whatever evidence is available as systematically as possible, as it can still be valid: *'presenting a reasoned argument for the likely or plausible impact, based on what has been achieved to date, is [often] all that can be done'.*[132]

- From time to time, it is important to try to link your advocacy to your broader aims and objectives, to make the connection between what you are doing and what you ultimately hope to achieve. For example, the WASH Campaign aims to *raise the commitment of political and social leaders to achieving the goal of making safe water, sanitation and hygiene a reality for all.* Periodically it may be useful to examine your national or regional advocacy activities and plans in the light of this strategic goal, to try to assess to what extent they are contributing to it. Although this kind of assessment presents many challenges, as described above, it is an important aspect of

130 Roche 1999, p202
131 Jennifer Chapman and Amboka Wameyo, 2001. Monitoring and Evaluating Advocacy: a scoping study ActionAid, London. www.actionaid.org
132 op. cit. p202

monitoring and evaluation, in order to prevent advocacy work losing its sense of direction or absorbing resources without being able to justify or account for their use.

• The range of tools used in project monitoring and evaluation can in many cases also be used for the assessment of advocacy work.'These include methods such as key informant and other interviews; surveys; group discussion; observation; case studies; and RRA/PRA tools such as time lines, ranking, Venn diagrams, impact flow charts; and trend analysis/time trends (see Appendix 1 for more details of PRA techniques useful in monitoring and evaluating advocacy work).[133]

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

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

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

Questions for the 'audience' and the 'client'

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

The first set of questions considers the impact of the work on the audience or targets:

1. Who was supposed to hear the message?
2. Who has heard the message?
3. How did they interpret the message?
4. How was it different from other messages?
5. What did they do in response?
6. Have they heard of the sender?
7. How do they differentiate the sender from others who might be sending similar messages?

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

1. If they are not already working with your organisation, how are they contacted to ensure you are acting appropriately on their behalf?

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133 Roche 1999, p216-230

2. To what extent has your organisation explained your advocacy activities to the poor people you are working with?

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

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

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

6. What effort has been made to seek their assessment of results and get their confirmation of assumed impact?[134]

Tool for self-assessment

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

1. Advocacy objective

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

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

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

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

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

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

2. Message delivery/communications

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

134 Rick Davies, quoted in Roche 1999

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

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

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

3. Use of research and data

▸ How did using data and research enhance your effort?

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

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

4. Decision making process

▸ How is the decision-making process more open because of your efforts?

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

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

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

5. Coalition building

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

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

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

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

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

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

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

6. Overall management/organisational issues

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

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

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

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

▸ Are you or your organisation overwhelmed or discouraged? How could you get more assistance? Should you narrow your goal or extend your time frame to make your effort more manageable?[135]

WaterAid/Caroline Penn

135 Sharma, no date, p115

2.13 Drawing up an advocacy plan

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

Table 7: Example Layout for an Advocacy Plan						
Objectives	Activities	Target	Indicators	Timing	People responsible	Review planned
Objective 1	1.a. …. 1.b. …. 1.c. ….	1.a 1.b. 1.c.	1.a 1.b. 1.c.	1.a 1.b. 1.c.	1.a 1.b. 1.c.	xx/yy/zz
Objective 2	2.a …. 2.b ….	2.a 2.b	2.a 2.b	2.a 2.b	2.a 2.b	aa/bb/cc

When completing the 'Timing' column, try to incorporate the opportunities you are aware of, for example key events, media opportunities and so on. Remember that advocacy work can be slow and time-consuming, and so needs a long-term commitment if you are to achieve real change. Your Advocacy Plan should reflect this.

Advocacy Plan: example from India[136]

Action for Securing Health for All (ASHA) works in the slums in Delhi, India, where most people do not have access to water, sanitation, electricity or adequate housing. ASHA's aim is to work with the people in these communities to give them access to these basic services and therefore improve the quality of their lives.'ASHA also aims to educate and train women so that they will become mobilised to improve their conditions through their own acting and lobbying.'Their advocacy plan – given in the table below – focuses on improving basic services for the community whilst at the same time increasing the community's, in particular women's, capacity to advocate for these improvements themselves in the future.'Their second objective focuses therefore on advocacy capacity building among the community women. Although their objectives are not a specific and time-bound as Section 2.4 recommends, they provide a useful example of a real advocacy plan.

136 Atkins and Gordon 1999, p47

Table 8: Sample advocacy plan

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

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

Table 9: Example layout of advocacy planning schedule

Year	Month	Date	Activity	Activity number (from the Action Plan)	People responsible
2001	January	15 31	Finalise action plan Meeting with Minister for Water	- 1a.	Team Project Officer
	February	5	Press briefing Etc Etc	2.b.	Communications Officer

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

Checklist for realistic planning

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

- *'Are you ready to implement your plan? Are you clear about your objectives? Do you have your evidence and solutions in place? Do you know your audience? Do you have good contacts among your influentials? Do you know what activities you are going to carry out? Have you decided what advocacy style or approach you are going to use?*
- *What are you expecting from your partners/allies? Are you sure of their motives and goals? Do they enhance your credibility? What will happen if they drop out of the picture?*
- *What resources – financial, technical, and human – are available? What are the implications for your plan? Do you need to build in some training activities to your plan?*
- *How will you co-ordinate and monitor the different approaches you are using? Do you have a plan for integrating them and avoiding bottlenecks?*
- *Are there any risks? How will your activities affect the reputation of your organisation? How might it affect your funding to do other activities? Might you lose valuable staff? Could other current partners no longer wish to work with you? What can you do to mitigate any negative outcomes?*
- *What would you do if….? What are your alternatives, contingency plans or fall-back positions? External conditions may change and you may have to rethink your plans – build in flexibility so you are prepared for this.'[137]*

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

- 'solid research and analysis and clear achievable propositions for policy change
- credibility built on being able to link practical experience to broader policy issues; making micro-macro links
- the ability to build upon past investments in local contacts, partner organisations, networks and alliances (many of which may have been built up over several years)
- the readiness and ability to seize sometimes unexpected opportunities to push for change

- the involvement of credible, skilled and experienced lobbyists, who have good intelligence about, and contacts within, the lobbying targets
- excellent media work founded on good contacts with journalists'[138]

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137 Save the Children Fund 2000 p65
138 Roche 1999, based on 'Fundamental Review of Strategic Intent', Oxfam GB 1998

Section 3

How does it fit?

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

3.1 Mainstreaming advocacy

It is increasingly recognised by civil society organisations that service delivery and other technical project and programme work alone cannot achieve the overall objective of reducing poverty and hence that policy change is also necessary to change the structures which cause poverty and perpetuate inequality. The water and sanitation sector is no exception. Advocacy work therefore needs to be integrated into projects and programmes, not as an 'add-on', nor as a substitute, but as an inherent part of planned work. In other words, it needs to be 'mainstreamed'.

Advocacy has the potential to 'add value' to project work by spreading the impact wider than the community and region in which a project operates; indeed, for some civil society organisations the main rationale for engaging in advocacy is a desire to increase their impact and 'scale up' their work.

However, there is some debate about how this mainstreaming should take place – in other words what structures can be used to incorporate advocacy into civil society or-

ganisations' ways of operating. Different organisations tackle this issue in different ways:

▶ Some have dedicated advocacy staff members whose job it is to carry out their advocacy work. This is the way in which some large Southern civil society organisations are mainstreaming their advocacy. The key advantage with this approach is that it ensures advocacy work does take place. The disadvantage is that other staff members or partners may not bother to become involved in advocacy, not considering it their responsibility.

▶ Other organisations include responsibility for advocacy in all job descriptions of field staff. This means that in theory all staff members are involved in advocacy. The drawback of this approach is that without dedicated advocacy specialists, who have the time and skills to devote to advocacy work, it may be relegated to a low priority activity or not carried out at all.

▸ Some have a combination of the two, with the dedicated advocacy staff based at national or international headquarters, and/or in the field, providing support to practitioners in the field.

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

Whatever structures are in place to support the mainstreaming of advocacy work, this process of integration will not take place unless advocacy is incorporated into all aspects of projects and programmes. Mainstreaming advocacy involves adopting an advocacy approach to the whole of project and programme work, considering the full range of advocacy tools and approaches to contribute to the overall programme or project goal. It involves moving beyond discrete information sharing or networking activities to a holistic view, which integrates advocacy as a central part of the programme.

To achieve this, advocacy must be considered at the very beginning of projects and programmes, i.e. at the planning stage. Advocacy opportunities and the contribution that a proposed project may make towards achieving policy change should be taken into account when projects are selected. During project design, advocacy objectives can be included alongside field work objectives; advocacy activities can be added to project implementation activities; information gathering for advocacy can be carried out alongside baseline data collection; and resources (time,

funds etc.) can be allocated for advocacy as for other activities within the project. This can be carried out at project, programme and organisational level.

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

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

Linkages at national and international level can play a significant role in mainstreaming advocacy, and are considered in the following section.

Mainstreaming advocacy: WaterAid's experience

Early in 2002, WaterAid held an international advocacy workshop attended by staff representatives from its country offices and headquarters, to consider advocacy work throughout the organisation. The draft outcomes document includes the following statement:

*We recognised WaterAid's journey towards advocacy work as having started when it was founded in 1981. Then, we addressed ourselves to the communities who directly benefited from our work and to our peers in the sector to convince them of the **necessity of integrated approaches, including sanitation and hygiene promotion to water supply development.** We continued to advocate this good practice until it was accepted as mainstream. We also advocated for the **need for institutional development in the water and sanitation sector,** and in our own practice, showed this through working in **partnership** with local actors. Our core advocacy message is still to do with the employment and enforcement of established good practices in the sector (where these practices are already part of national policies).*

*Since then, we have become more aware that good practice alone is not enough. We are now actively informing ourselves of the context within which we work: educating ourselves on the actors and institutions, and the political and economic processes that have a direct impact on the water and sanitation sector. Very broadly, we are informing ourselves and seeking to clarify our analysis and position on the issues of **governance, poverty** and **sustainable development.** In doing so, we are seeking to address the actors not just within the sector, but especially those outside the water and sanitation sector whose actions and decisions drive it.[139]*

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139 Burns and Calaguas 2002

3.2 Linking local, national and international level advocacy

Linking local, national and international level advocacy depends on good communication and networks between these levels. This communication is vital not only for co-ordination of activities, but more importantly to enable the connections to be made between the various levels. These connections flow in both directions and hence include on the one hand understanding the implications for grassroots communities of policy decisions made at national and international level; and on the other the priority issues facing grassroots communities which should contribute to the policy agenda at national and international level. Effective advocacy needs to take place at all these levels and to foster the flow of information and understanding between them.

If advocacy is built into project plans at the local level, as discussed in the previous section, then issues will emerge that have national relevance or national roots, i.e. which cannot be tackled solely at the local level. Indeed, the root causes of many advocacy issues lie far from the communities, in which they have an effect, often being the result of national or even international decision-making. These issues can form the basis of a national campaign carried out by a national network or international partners. This process of 'feeding up' issues from the local level helps to ensure that those at the national level are responding to the priorities of grassroots communities. At the same time, there may be issues at the national level that are currently of concern and which can also form part of a national campaign – in other

words, national-level advocacy may not solely be the sum of advocacy concerns raised at local level. The latter should form the main basis of a national level advocacy plan however, in order to ensure that grassroots communities' voices are heard.

This process of 'feeding up' issues can be replicated between the national and international levels, as national organisations contribute their priority advocacy concerns to their partners or networks who are working at the international level. Again, at the same time, there may be topical international issues which those working at that level feel it is important to respond to, which may be added to the concerns raised by national/country programmes.

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

the international and national perspective on policy issues and their implications for grassroots communities. In other words, it is important that those working at the grassroots have a good understanding of the wider policy environment and the factors that limit their efforts to achieve positive change.

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

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

This co-ordination, based on a symbiotic, multi-directional relationship, is vital for advocacy work to be truly effective, as the root causes of the problems which advocacy wishes to tackle are themselves complex and interconnected at all these levels. WSSCC national co-ordinators, as the bridge between the Council and members in a particular country and the conduit for local exchange of information, have a key role to play in facilitating international, national and sub-national linkages on advocacy issues in water and sanitation.

Feeding issues up the chain: The People's Report on Sanitation

The People's Report on Sanitation is a collection of case studies commissioned by the WSSCC, illustrating good practice and highlighting the costs of not attending to the sanitation crisis. They have been collected from grassroots communities around the world, and then collated at national level before being brought together in a single publication.

National to regional links: South East Asian NGOs prepare for Kyoto

In preparation for the 3rd World water Forum in Kyoto in 2003, NGOs in South East Asia came together in a side meeting at the Asia-Pacific Regional Consultation on Water and Poverty. The meeting, held in Dhaka, Bangladesh in September 2002, focused on: sharing ideas on how to take up the advocacy challenges raised at the Regional Consultation Workshop; sharing ideas on how to build advocacy capacity to ensure water programmes serve the poor; and to agree ways forward. The following agreements were made, amongst others:

- *The meeting agreed that **a key advocacy challenge is to work at different levels**: action needs to happen at the **local level** – with the building of community power through organising and federating grassroots-based people's organisations that can be involved in bottom-up planning, budgeting, implementation and monitoring of water programmes of local governments. Action also needs to be carried out at the **national and international levels**: to press for pro-poor programmes, for poor people's participation in national policy and planning processes, for listening and paying attention to poor people's voices.*
- *It was agreed that at the Kyoto World Water Forum, Asian NGOs should speak with one voice, and focus on a few issues for maximum impact. It was discussed that the form in which the message will be sent to the Forum should be creative, and should provide some guide to any Asian NGO representative that will attend the Forum.*
- *It was agreed that the messages from the Asian NGOs should address two issues: a) Effective and sustainable pro-poor water programmes can only happen with community empowerment, involvement and genuine participation in planning, budgeting, implementing and monitoring these programmes – this needs to be supported and resourced; b) Water programmes for the poor should effectively address drought-prone areas and resource-poor areas.*
- *It was agreed that the Asian NGOs present at the meeting would form themselves into an **'Asian Water Action Network'**.[140]*

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140 Calaguas 2002

3.3 Building capacity

Capacity building should be a significant component of any advocacy work (see Section 1.1 and Section 2.4 above). Given the overall goals of most civil society organisations involved in advocacy, it is vital that grassroots communities are involved *'not just as recipients of information but as actors in their own right'*.[141] Advocacy that aims to increase the capacity of grassroots communities is sometimes called 'rooted advocacy', 'participative advocacy', or 'stakeholder advocacy'. It can be defined as *'facilitating a process by which people, through articulating their own needs and desires, gain the confidence and ability to influence decisions which will affect their own future'*.[142] Civil society organisations that work with grassroots communities and are involved in advocacy work should therefore be openly committed to building the advocacy capacity of those they represent. This approach is typified in the Vision 21 process, which aimed not only to generate priority issues among grassroots and national communities, but also to increase local capacity for analysis and action to tackle those issues.

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

- Increasing skills: for analysis, planning campaigns, advocacy tools etc
- Increasing knowledge levels: raising knowledge, awareness and analysis of wider policy issues and the root causes of poverty and inequality

- Improving structures: for example mechanisms for co-ordination, networking and so on

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

- ▸ Whose priorities are we working on and how were they determined?
- ▸ Are the communities we are representing (and/or our partners) involved in planning our advocacy work? If not, how can we involve them?
- ▸ Are they involved in the implementation of our advocacy work? How can we involve them more?
- ▸ Have we shared all our information and analysis with them as far as possible?
- ▸ Can we increase their research capacity?
- ▸ How can we increase their exposure to the political processes with which we are engaged?
- ▸ Are there any training needs that we can meet or help them meet?
- ▸ What contacts can we put them in touch with? How can we increase their networks?

There is often also a need for internal capacity building, particularly for an activity such as advocacy which some colleagues may feel less confident about undertaking. If your organisation or network is lacking in key skills or knowledge areas, it will be unable to carry out your advocacy plans, however well designed they may be. Training needs and other capac-

ity requirements should therefore be identified wherever possible during the planning stages. Support and assistance may be gained from other organisations and networks. Forming an alliance with other organisations also can provide missing skills and an opportunity to learn from working alongside others.

Community-based advocacy: an example from Honduras

Unlike wealthier neighbourhoods of the capital city of Honduras, where water flows freely from the taps all the time, the community of Nueva Suyapa receives water only every two weeks at best and often only once a month. Ultimately, these poor people end up spending up to 20 per cent of their income just on water, cutting deeply into their already meagre earnings. Upon witnessing the injustice of this situation, the Association for a more Just Society (ASJ), a local NGO and Tearfund partner, began to investigate why this was happening.

ASJ's social worker carried out an investigation comparing the frequency, quantity and quality of water service to an upper-class neighbourhood, a middle-class neighbourhood, and a lower class neighbourhood (Nueva Suyapa). This study established that the water system of Tegucigalpa blatantly favours the upper and middle class to the detriment of the poor. For example, Lomas del Guijarro, an upper class neighbourhood, receives water every day for an average of 15 hours, whereas people in Nueva Suyapa receive water every 22 days for an average of 3 hours.

The Commissioner of Human Rights in Honduras agreed: having access to clean, affordable water is fundamental human right. ASJ presented the situation to the Commissioner, and his office offered their support in protesting this gross inequality.

The national water administration (SANAA) had refused up to this point to pump more water to Nueva Suyapa, explaining that there is a limited amount of water to be had in the crowded city of Tegucigalpa. In order for Nueva Suyapa to receive enough water so that each house got water once or twice a week at least, SANAA would have to take water away from other communities that receive water every day.

A committee from Nueva Suyapa was formed to meet with SANAA. Meetings were held with high-ranking officials at first and then engineers were assigned to negotiate with them. They seemed interested in resolving the situation but they had technical concerns and argued that there was no money to carry out technical changes. However, they stated that the SANAA could pump at least 8–10 hours of water (up from the current 5) and were open to other proposals.

In addition to the meetings with the SANAA, ASJ carried out other activities to inform the community about the negotiations and keep pressure on the SANAA. ASJ

got a national newspaper to dedicate _ page to the case. ASJ also did a multimedia presentation to over 100 people in the community, handed out over 1000 flyers describing the progress, and visited churches and community boards.

Finally, after a year of lobbying and pressure, SANAA agreed to nearly all of the community's and ASJ' proposals. SANAA agreed to: 1) pump an average of at least 10 hours a day of water to the community (up from 5 currently); 2) donate half and finance the rest of the pipe needed to greatly improve the distribution network; 3) assign a water engineer to work with the community; and 4) facilitate all the plans for the water system. It is estimated that all of these changes together will allow each house in Nueva Suyapa to receive water at least twice a week – up from what was originally once every 30 to 40 days.[143]

WaterAid/Jim Holmes

143 Association for a more Just Society (ASJ), Tearfund partner, with grateful thanks

Resources and further Information

This Section contains information that may be of use for individuals and groups planning advocacy work in the water supply, sanitation and hygiene sector. The first part describes some of the key water policy actors at international level. The second looks at some of the relevant policy processes and conferences. The third part lists the main international policy agreements relating to the water supply and sanitation sector. The fourth describes some organisations and on-line resources, together with some useful information and statistics for advocacy. The final part contains a brief annotated bibliography of suggestions for further reading. A full list of publications referred to in the text is given in the Bibliography that follows.

4.1 Key International water policy actors

This Section lists some of the key international institutions in the freshwater policy arena and gives a brief summary of their organisational structure and interests[144]. Additional information may be obtained from the organisations themselves (see the contact addresses and websites within each entry). The following organisations are listed:

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

4.1.1 World Water Council

World Water Council
Les Docks de la Joliette
13302 Marseilles
France
Tel: +33 4 91 99 41 00
Fax: +33 4 91 99 41 01
Email: wwc@worldwatercouncil.org
Website: http://watercouncil.org

A meeting of Ministers in Noordvjik in the Netherlands in 1993 concluded that there should be a world-wide water organisation to cover the whole water sector, along the lines of the World Health Organisation or the World Trade Organisation. In 1996, the World Water Council was formed as an NGO with a Secretariat in France. There is also a West-

144 Most of this information is taken from Skelton 2000 and Turner 2000, with supplementary material obtained from the organisations' websites.

ern Hemisphere Bureau in Canada and an Africa and Middle East Bureau in Egypt.

The WWC functions as an international water policy think tank. Its mission is: *"to promote awareness about critical water issues at all levels, including the highest decision making level and the general public, and to facilitate the efficient conservation, protection, development, planning, management and use of water on a sustainable basis for the benefit of all life on this earth."*

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

The WWC currently has about 200 members from over 50 countries. Membership is open to all entities interested in furthering the objectives of the WWC and includes national and international institutions, government agencies, private and public agencies and firms, NGOs, UN bodies, academic, scientific and professional organisations. There is an annual membership fee of US$1,000. Con-

cern has been expressed that some organisations, particularly those from developing countries, may not be able to afford this high membership fee and are therefore unable to contribute to the WWC.

4.1.2 Global Water Partnership

GWP Secretariat
C/o SIDA
S-10525 Stockholm
Sweden
Tel: +46 8 698 50 84
Fax: +46 8 689 56 27
Email: gwp@sida.se
Website: http://www.gwp.sida.se/gwp

The GWP was set up in 1993 as a result of the same meeting of Ministers at Noordvjik in the Netherlands that initiated the World Water Council. It consists of a Consultative Group, made up of all members; a Steering Committee, composed of representatives of donors and other organisations, which provides guidance to the Executive Secretary; a Secretariat based at SIDA in Sweden; and a Technical Advisory Committee. Seven regional Technical Advisory Committees have also been established.

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

The GWP's main activities include the Global Water Forum, an independent on-line venue (see below); the GWP Consultative

Group Meeting (annual meeting of all GWP members and partners held in August in Stockholm); and Associated Programmes (autonomous service provision programmes designed to assist stakeholders to solve problems in water resources management by pooling the best knowledge available within the partnership and packaging it into services that meet the demands of the regions).

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

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

4.1.3 United Nations Department of Economic and Social Affairs (UN/DESA)

Through its Water, Natural Resources and Small Islands States Branch, DESA provides project execution and policy advisory services at national and regional levels in integrated water resource management. While providing policy advice to Member States, DESA stresses the importance of water as a key resource to achieve the goals of sustainable development.

UN/DESA serves as Secretariat for the UN Commission on Sustainable Development, where freshwater issues are sometimes dealt with in conjunction with other issues, such as international conflicts or economic delibera-

tions; serves as secretariat for the System-wide Subcommittee on Water Resources (UN-Water); houses the UN Secretariat's main freshwater expertise; manages a large programme of technical cooperation in integrated water resource management and ground-water development, including management of international waters; helps governments and local entities design development strategies and build national capacities in freshwater resources planning and management; conducts needs assessments and develops water resources management programmes; plays a key role in promoting inter-agency cooperation around water issues, and launches advocacy campaigns for partnership building.

During the International Year on Freshwater (Water Year 2003), UN/DESA co-ordinates, with the help of UNESCO, UN System-wide activities for the Year. A Communications Task Force for the Year also provides advice and develops advocacy/communication strategies. "The UN System in Brief: Working for Freshwater" lists these Focal Points comprising Heads of Communications and Media Spokespersons in their respective organizations.

UN Department of Public Information
Room S-040, United Nations, New York 10017
U.S.A.
Tel. +1(212) 963-6870
Fax. +1(212) 963-1186
E-mail: mediainfo@un.org
Website: www.wateryear2003.org

UN/DESA
Water, Natural Resources and SIDS Branch
Division for Sustainable Development
United Nations Plaza
Room DC2-2020
New York
NY 10017
USA
Tel: +1 212 963 4208
Fax: +1 212 963 4340
Email: dengo@un.org Website:
http://www.un.org/sustdev/water.htm
http://www.csdngo.org/csdngo
(NGO information)

4.1.4 United Nations Commission for Sustainable Development (CSD)

UNCSD Secretariat
Division for Sustainable Development
United Nations Plaza
Room DC2-2220
New York
NY 10017
USA
Tel: +1 212 963 3170
Fax: +1 212 963 4260
Email: dsd@un.org
Website: http://www.un.org/sustdev/ (CSD homepage)
http://www.csdngo.org/csdngo (NGO information)

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

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

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

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

As membership of UN bodies is only open to nation states, NGOs cannot be members of UNCSD. However, they can become 'accredited' or gain 'consultative status' with the CSD. One of the CSD's six goals is to *"promote an active and continuous dialogue with governments, civil society and other interna-*

tional organisations aimed at building partnerships to solve key issues and problems related to sustainable development" and the NGO Steering Committee is the key mechanism for this dialogue. Membership in individual caucuses is not restricted to 'accredited NGOs', but they are supposed to contain at least 10 accredited NGOs to be considered active and to be able to elect Steering Committee members. Membership is only for organisations, not individuals. Organisations may contribute to an issue caucus by subscribing to the listserver
(http://www.igc.org/csdngo/ to subscribe).

4.1.5 World Bank

World Bank
1818 H Street, NW
Washington
DC 20433
USA
Tel: +1 202 477 1234
Fax: +1 202 477 6391
Email: info@worldbank.org
Website: http://www.worldbank.org

The World Bank consists of 5 closely associated institutions:

1. International Bank for Reconstruction and Development (IBRD), which gives loans and development assistance to middle income and credit worthy poorer countries
2. International Development Association (IDA) focuses on the poorest countries, and provides interest free loans
3. International Finance Corporation (IFC) finances private sector investments in developing world and provides technical assistance
4. Multilateral Investment Guarantee Agency (MIGA) provides guarantees to foreign investors in developing countries

5. International Centre for Settlement of Investment Disputes (ICSID) provides conciliation and arbitration facilities between foreign investors and host countries

The World Bank is made up of 27 vice-presidencies, 7 of which are linked to geographical regions, and the remainder to different sectors. There are four major themes relating to water that cut across the regions and sectors, namely: hydro-power; water and sanitation; irrigation and drainage; and the water environment. There are at least four main groupings of the World Bank which include a concern with the water sector in their brief, as set out below.

Regional Vice-Presidencies
This is the implementing part of the World Bank through which it lends money to governments to carry out agreed programmes. World Bank regional offices often have water sector professionals attached to them to advise on water projects within country programmes.

Vice-Presidency for Finance, Private Sector and Infrastructure (FPSI)
This Vice-Presidency has recently undergone restructuring. There is now a department within the Infrastructure section specifically dealing with water and sanitation. The main function of the department is "knowledge management", which is understood to mean giving professional advice to the geographical/regional departments in Washington. The Demand Responsive Approach is now a key feature of World Bank policy on water and sanitation, as part of the Bank's efforts to achieve effective and sustained community-managed services. It also provides management for the Water and Sanitation Program (see below), which is otherwise separate from the World Bank.

Vice-Presidency for Environmentally and Socially Sustainable Development

This Vice-Presidency has two water sector professionals. One of them, Jon Briscoe, is Senior Water Adviser and advises the Vice-President.

Water Sector Board

This board is the World Bank's think tank on water and cuts across the hierarchy. In practice the grouping appears to be more interested in water for irrigation and the resolution of conflict, rather than water supply and sanitation.

The World Bank also operates a global water and sanitation advisory service, the Water Help Desk: Whelpdesk@worldbank.org

The World Bank is involved in the production of Poverty Reduction Strategy Papers (PRSPs) for many countries in the world (see below, Section 4.2.3). The World Bank is also currently piloting a new integrated approach in 12 countries, the Comprehensive Development Framework (CDF), which aims to address wider issues such as governance, social development and institutions, as well as simply financing projects and supporting discrete policy reforms.

World Bank: Water and Sanitation Program (WSP)

Water and Sanitation Program
World Bank
Room F4K-172
1818 H Street
Washington
DC 20433
USA
Tel: +1 202 473 9785
Fax: +1 202 522 3313
Email: info@wsp.org
Website: http://www.wsp.org/

The WSP was established within the World Bank with joint funding from the Bank and UNDP. It has a decentralised structure based on five regional offices: Andean Region; East and Southern Africa; West and Central Africa; East Asia and the Pacific; and South Asia. Although technically it is managed by the World Bank's Water and Sanitation Department, it operates largely independently.

The WSP's purpose, together with partners in government, donor agencies, the private sector and NGOs, is to promote innovative solutions tailored to local needs and conditions. Its current approach emphasises demand-responsiveness in which:

- a balance is struck between the economic value of water to users, the cost of providing services to users, and the prices charged for these services
- management decisions about service levels, facility locations and cost sharing are generally made with public consultation and user involvement in the planning and implementation of water and sanitation projects

The WSP works in three key areas: strengthening sector policies, by assisting governments in the design of appropriate policies, strategies and programmes; supporting sustainable investments, by building country capacity; and learning and communicating lessons, through analysis and dissemination at country, regional and international levels. In 1984 the WSP launched the International Training Network (ITN), a network of local, regional and international training institutions, to support training in low-cost water supply and sanitation.

World Bank: NGO and Civil Society Unit

The World Bank has an NGO and Civil Society Unit, located in the Social Development Department, within the Environmentally and Socially Sustainable Development Vice-Presidency. The Unit aims to work with NGOs and other organisations of civil society world wide, and to provide institutional guidance on the Bank's work with civil society, for example through contributing to documents such as the Comprehensive Development Frameworks and Poverty Reduction Strategies. It holds meetings at national, regional and international level, and works through networks such as the NGO-World Bank Committee and CIVICUS.

4.1.6 International Water Association

International Water Association
Alliance House
12 Caxton Street
London
SW1H 0QS
UK
Tel: +44 (0) 20 7654 5500
Fax: +44 (0) 20 7654 5555
Email: water@iwahq.org.uk
Website: http://www.iawq.org.uk

The International Water Association (IWA), an international membership organisation, is dedicated to promoting best practice in water supply, wastewater collection and treatment, water pollution control and water quality management. It was formed by the merger of two international organisations, the IAWQ (International Association of Water Quality) and the IWSA (International Water Services Association). IWA is collaborating with other international organisations to support a new internet resource dedicated to improving sanitation worldwide.

4.1.7 UNICEF: Water and Environmental Sanitation Programme (WES)

UNICEF
3 UN Plaza
New York
NY 10017
USA
Tel: +1 212 326-7000 (UNICEF switchboard)
Tel: +1 212 824-6000 (WES)
Fax: +1 212 887-7465 (UNICEF)
Fax: +1 212 824-6000 (WES)
Email: wesinfo@unicef.org
Website: http://www.unicef.org
WES website: http://www.unicef.org/programme/wes/info

UNICEF, the United Nations Children's Fund, carries out its work through 8 regional offices and 125 country offices. Its major involvement in water is through the Water, Environment and Sanitation Programme (WES). It now supports long-term WES programmes in 90 countries in Africa, Asia and the Americas. The WES Programme has a number of focus areas: WES, child rights and the global agenda; women and WES; WES for the urban poor; sanitation, hygiene and water; and children and the environment.

4.1.8 United Nations Development Programme (UNDP)

UNDP
1, UN Plaza
New York
NY 10017
USA
Tel: +1 212 906 5000
Website: http://www.undp.org

The UNDP is the United Nations' principal provider of development advice, advocacy and grant support, with a presence on the ground in virtually every developing country. It has 6 focus areas, one of which is 'Energy and Environment Policy', which encompasses the development of clean, affordable energy and the sustainable management of natural resources including *water*, land and biodiversity.

This work is mostly carried out through the SEED programme, which is co-ordinated by a small Directorate based at UNDP headquarters. SEED consists of five units:

* Capacity 21: responsible for a special programme to help countries build capacity to implement Agenda 21.
* Energy and Atmosphere Programme: responsible for programme and policy support in these subject areas, and for the management of associated Special Programmes, as well as for UNDP's activities as implementing agency for the Montreal Protocol.
* Global Environment Facility: responsible for UNDP's activities as one of three implementing agencies for the GEF (see below). Includes work on *international waters.*
* Natural Resources Unit: responsible for programme and policy support in the

thematic areas of food, forests, and water, as well as for the management of associated Special Programmes. Includes *water, waste management and aquatic environment.*
* Office to Combat Desertification and Drought (UNSO): responsible for the special programme earlier established within UNDP to combat desertification and drought.

UNDP's water-related activities focus on *"providing support to the capacity building process through and with governments and civil society for the management and use of water resources and the aquatic environment in ways that reconcile poverty alleviation and environmental protection."* UNDP's Water Strategy is available from the Natural Resources Unit or from the website: http://www.undp.org/seed/water

The Global Environment Facility (GEF) is a joint project between UNDP, UNED and the World Bank. It was established to forge international co-operation and finance actions to address four critical threats to the global environment: biodiversity loss; climate change; *degradation of international waters;* and ozone depletion. It brings together 166 member governments, leading development institutions, the scientific community and private sector and non-governmental organisations. Freshwater-related projects are based on three categories: 1) water bodies; 2) integrated land and water projects; and 3) contaminants; and include pollution control and environmental management on lakes and rivers around the world, integrated watershed management projects and lake and river biodiversity management initiatives.
Website: http://www.undp.org/gef

4.1.9 European Union

European Commission: DG Development
Rue de la loi 200
B-1049 Brussels
Belgium
Tel: +32 2 299 1111
Website: http://europa.eu.int/comm/development

The European Union consists of a number of related institutions, the most significant being the European Parliament, the Council of the European Union, and the European Commission. Other institutions include the European Court of Justice, the European Investment Bank and the European Ombudsman.

The Parliament consists of democratically elected representatives of the peoples of the European Union, while the Council (usually known as the Council of Ministers) is the body through which member states legislate for the Union, co-ordinate national policies and set political objectives. The European Commission initiates proposals for legislation, is the guardian of Treaties, and the manager of Union policies and international trade relations.

The Commission is made up of Directorates-General focusing on different areas. With regard to water, there are two related Directorates, DG Development and DG Environment. DG Development is responsible for drawing up Sectoral Policies which inform the EU's work in developing countries, in particular in ACP countries under the Lomé agreement. Within the Infrastructure Sector Policies Department, there exists a Sectoral Policy on Water Resources (summarised on the website: http://europa.eu.int/comm/dev/sector/water) which outlines the EU's priorities in the sector. Contact: André Liebaert, DG for Development, Unit A/3 – Infrastructure sector policies – Water resources sector. Tel: 32 2 299 2753; fax: 32 2 299 0603; email: andre.liebaert@cec.eu.int.

DG Environment focuses more on environmental issues within EU member countries. It has policies on a number of environmental themes including water (in particular clean water) and waste, as well as biodiversity, chemicals and environmental assessment. See the website for further information: http://www.europa.eu.int/comm/environment/. The EU Water Framework Directive was recently drawn up to outline European water policy for clean water within European member states. This can be viewed on: http://www.europa.eu.int/water/water-framework/. The EU launched its new Water Initiative at the World Summit on Sustainable Development in Johannesburg in August 2002 (see below).

4.2 Key policy processes and conferences

This section summarises some of the key policy processes and conferences that focus on or have implications for water policy, as follows:

▸ World Summit on Sustainable Development
▸ World Water Forum
▸ Poverty Reduction Strategy Papers (PRSPs)
▸ National Strategies for Sustainable Development (NSSDs)
▸ The EU Water Initiative
▸ The New Partnership for Africa's Development (NEPAD)
▸ The African Ministerial Conference on Water (AMCOW)
▸ African Water Task Force

4.2.1 World Summit on Sustainable Development

The World Summit on Sustainable Development, held in Johannesburg in August/September 2002, was the third in the series of UN Conferences on Environment and Development that began in 1992 in Rio. The Commission on Sustainable Development (CSD) was created at that time to support the implementation of Agenda 21, the plan for global action drawn up in Rio.

The key outcomes of the World Summit with regard to the water and sanitation sector were the agreement on a new sanitation target – to halve the proportion of people without access to basic sanitation by 2015 – and the affirmation of the Millennium Development Goal on water supply.

4.2.2 World Water Forum[145]

The World Water Forum is organised every three years by the World Water Council (see 4.1.1 above). The 2nd Forum took place in The Hague in the Netherlands in March 2000, and the third Forum is scheduled for March 2003 in Kyoto, Japan.

The Second World Water Forum was intended to be "a pivotal event" where there would be the opportunity to *"address the challenges ahead of us and set down the conditions for a world in which everyone has access to clean water in 2025"*. It was open to everyone, but particularly 'stakeholders' in water. The main stakeholder groups ('Major Groups') were NGOs, youth, women and business, although government representatives and Trade Unions were also present.

Running parallel to the last two days of the Forum was the Ministerial Conference, intended to generate political commitment to solving the world's water problems. At the end of the Conference the Ministers were to produce a declaration stating their commitments and agree to establish national water targets. Some participants expressed concern that although there were some positive outcomes from the Ministerial Conference, which will be fed into the UN Commission on Sustainable Development, there were no real commitments to change. In response to the Ministerial Declaration the four Major Groups (NGOs, women, youth and business) produced their own declaration and made an oral statement to the Ministerial meeting.

145 Green 2000 and Tearfund 2001.

In preparation for the 2nd World Water Forum, the World Water Council established the World Commission for Water, a working group whose mandate was to draw up a World Water Vision for Life and the Environment. Concern was expressed during the Forum that the process of defining the Vision was not very participatory and therefore lacked legitimacy. In contrast, the Vision 21 process, managed by the WSSCC for the production of a Vision for Water Supply and Sanitation, and also presented at the 2nd World Water Forum, was considered to be more participatory, with national and local level consultations taking place in a number of countries around the world.

The Global Water Partnership was given the task of preparing a Framework for Action, which would describe how the Vision could be implemented. A Framework for Action Unit was established in Paris, whose task is now to co-ordinate and monitor the implementation of the Vision.

Website: http://www.worldwaterforum.org

4.2.3 Poverty Reduction Strategy Papers (PRSPs)[146]

In September 1999 the World Bank and the International Monetary Fund developed a new framework for giving low-interest loans and debt relief to 42 of the poorest countries in the world. To gain debt relief, national governments have to write a Poverty Reduction Strategy Paper (PRSP) which clearly shows how the government will use these funds for targeted poverty reduction in their country. PRSPs are to be country-driven and owned, based on broad participatory processes for their design, implementation and monitoring. This means that governments are designing and directing poverty reduction strategies for their countries in consultation with local gov-

ernment, civil society and communities. At the very least, the PRSP process opens development planning and budgeting to slightly wider scrutiny and influence. At most, if the principles of the process are adhered to, PRSPs could provide unprecedented opportunities for civil society organisations to influence national policy-making and development planning.

Participating in the consultation process for the PRSP can involve a variety of actions, depending on the capacity of the organisation, including:

- Membership in sector working groups or technical teams to deliberate and draft text for PRSP
- Independently contributing background papers, information and analysis to the drafting committee, especially from perspectives of poor people
- Feeding back or commenting on consultation documents and drafts
- Running workshops to provide information on PRSP and/or solicit information
- Mobilising other organisations to contribute to, or comment on drafts
- Co-ordinating and facilitating the response from sectoral networks to drafts of the PRSP
- Disseminating information on contacts and updates on the PRSP process – being an information hub for others
- Attending national and zonal meetings and workshops, which bring together government officials and civil society, to advocate particular issues

The PRSPs are matched by a national-level medium term expenditure framework (MTEF), where poverty reduction priorities are clearly earmarked. Initially only accounting for debt relief and national revenue, in fu-

146 Calaguas and O'Connell 2002 and WaterAid website: www.wateraid.org

ture MTEFs will seek to include donor assistance. Gradually, the MTEFs and PRSPs could be the basis for all donor assistance, which would be non-specified to any programme. For a sector that relies so heavily on external donor assistance (in many countries in Africa, anywhere from 50–90% of all spending on water and sanitation comes from donors), the MTEF presents a challenge as well as an opportunity.

Presenting and documenting evidence for the link between poverty reduction and access to safe and affordable water supply and sanitation services is a significant part of this challenge. In some countries, links between WSS, improvements in food security, other livelihood activities and employment, productivity, energy and the environment are already recognised. However, overwhelmingly, the strategies pursued in the PRSPs emphasise building standard physical infrastructure (boreholes for rural water supply, dams and weirs for irrigation purposes) and privatisation of water services in urban areas. In spite of the rhetoric, the bottom line indicator for water is the number of physical water points constructed during the period covered by the PRSP. This construction priority is not complemented by similar attention to the creation of social organisations, such as user groups, to help ensure the sustainable operation and management of the built facilities, nor of the capacity building of government and other stakeholders to develop these user associations. And so there is a fundamental disconnection between acknowledgement of the role of water in poverty reduction and the water strategies considered to maximise poverty reduction.

A WaterAid/ODI research project examining the role of water and sanitation in PRSPs and the involvement of civil society has concluded that in spite of the potential of the PRSP process to create concrete opportunities for national and local civil society groups to represent the interests of their constituencies at the highest level of national policy making, in reality the level of participation in PRSPs has not lived up to the optimistic rhetoric. A recent report from consultant SGTs and Associates for the UK Department for International Development (DFID) identified that: 'In the majority of countries, participation by civil society in the PRS process has, as yet, been limited and superficial.' Even where space was provided for civil society groups to voice their opinions, these did not have an impact on resulting policies. In the water supply and sanitation sector, civil society involvement was particularly limited. When it did happen it was uncoordinated with other civil society action on PRSPs and was active only towards the end of the process.

How can water and sanitation sector stakeholders' influence in PRSPs be improved?

- Information sharing – a basic requirement for participation and increased transparency. Key issues are *when* information is given and how accessible that information is
- Focus – scrutinise existing strategies to review pro-poor measures and prioritise a few key issues on which to advocate
- Building effective coalitions/alliances – think as widely as possible and consider the full range of civil society representatives which could bring additional community voices into the group as well as stronger analytical capacity
- Consultation – the challenge for civil society is to enter the discussions not just with criticisms, but with proposals too. Developing proposals requires consultation within civil society, coupled with targeted research, analysis if necessary and advocacy

- Briefings – short,, clear and concise briefings with a few recommendations are an important tool in influencing government officials, politicians, other actors and the media
- Key messages – simplify complex messages. They should be framed in a compelling way, to be convincing, get the widest possible public support and win over policy makers
- Meetings – as a lobbying activity, prepare well for meetings, think through persuasive arguments, be well briefed and aim high
- Media – use both the print and radio media as an important ally in achieving your aims

As the PRSP process moves toward implementation, sector stakeholders need to consider how they can assist in developing the particular indicators for monitoring PRSP strategies in water. Attention also needs to be paid to monitoring resource allocation, disbursements, and actual spend for water priorities. These activities will help in understanding the investment needs and costs of the sector more accurately, and with better information, enable improved advocacy for water priorities within PRSPs.

4.2.4 National Strategies for Sustainable Development (NSSDs)[147]

In 1997, the UN General Assembly Special Session agreed that each country should formulate and implement National Strategies for Sustainable Development (NSSDs). Each country should have these in place by 2002 and have begun to implement them by 2005. The main thrust of the NSSD is to integrate environmental issues into mainstream planning. NSSDs are also intended to put poor people at the centre and be owned at a local level. The UN Commission on Sustainable Development (CSD) has agreed that NSSDs

should include commitments to national water management policies. Special assistance to help developing countries to meet this commitment has been given by some donor governments, such as the UK. To date only the UK and Canada have formulated a written NSSD, so it seems unlikely that the original target will be achieved.

(See CSD website for further information: http://www.un.org/esa/sustdev; copies of the NSSDs are also available on http://www.earthsummit2002.org/es/nsds)

4.2.5 The EU Water Initiative[148]

The EU Water Initiative, a high level commitment to partnership with Africa and Newly Independent States (NIS), was launched at the World Summit on Sustainable Development in Johannesburg in September 2002. It is considered to be one of the most important political commitments to implement the agreement reached on international targets in Johannesburg for water supply and sanitation and water management. The design is being finalised and will be completed by the 3rd World Water Forum in Kyoto in March 2003. Key aspects of the design of the Initiative are the Multi-Stakeholder Forums and the Working Groups.

The initiative provides a platform for strategic partnerships to implement the programmes of action for the WSSD and to contribute to meeting the Millennium Development Goals on water. Under the initiative, the EU seeks to work with its partners to:

- Reinforce political will and commitment to action
  The global water crisis is not on the agenda of many political leaders of the world. The initiative seeks to support governments in understanding the links between

water, poverty and sustainable develop-
ment and to help translate this into firm
commitments for action. In particular, the
initiative seeks to provide a mechanism to
develop joint action plans to implement
the programmes of action of the WSSD.

- **Make water governance effective and
build institutional capacity**
Making water governance effective is an
essential step in supporting healthy and
productive lives and safe-guarding the en-
vironment. The initiative seeks to promote
better water governance arrangements
and good practice centred on the princi-
ples of integrated water resources man-
agement. Capacity to plan, manage and im-
plement programmes of action at all lev-
els is central to achieving the desired
outcomes and the initiative seeks to build
capacity by providing expertise and knowl-
edge and by facilitating access to informa-
tion. Research co-operation should form
an import part of such these activities.

- **Improve co-ordination and co-operation**
A vast range of water-related activities are
currently underway or planned but their
inter-relationship is not always apparent.
The initiative seeks to provide a platform
to co-ordinate and streamline activities
and to establish multi-stakeholder process-
es to bring partners together, including
south-south collaboration and co-opera-
tion. The initiative seeks to support re-
gional and sub-regional activities where
clear commitment to collaboration exists.
As a contribution to peace and security it
seeks specifically to support the build-up of
river basin organisations and to assist in
the development and application of river
basin approaches in transboundary waters.

- **Increase the efficiency of existing EU aid
flows**
Meeting the Millennium Development
Goals will require considerable financing

efforts and although no exact estimates
are available it is evident there is a major
financing gap. The initiative seeks to make
the most of available funds and to increase
the effectiveness of existing and future EU
aid flows. It seeks to use official develop-
ment assistance as a lever for other forms
of finance, including user finance and pri-
vate finance, and to encourage the devel-
opment of innovative funding mechanisms
to create higher efficiencies.

Initial partners from the European-side in-
clude the EU Member States, the European
Commission, and the following representa-
tives from European civil society and the pri-
vate sector:

Green Cross International
WWF
Tearfund
WaterAid
Water Supply and Sanitation Collaborative
Council WASH
ICLEI
Global Water Partnership
Global Nature Fund
European Environmental Bureau
Ramsar
UNEP UCC-Water
OECD
UN-ECE
The International Secretariat for Water
BPD Water and Sanitation
Protos Water Powers People
International Network of Basin Organisations
INBO
EUREAU
Northumbrian Water
Suez
Thames Water
Vivendi

Political commitment and stakeholder support has already been secured from Africa and the NIS countries and work has begun on the development of specific components for these regions. As the initiative develops, other governments, the International Finance Institutions, the UN agencies and other relevant organisations and stakeholders will be encouraged to become partners.

The design phase of the initiative will continue during the lead up to the 3 rd World Water Forum to be held in Japan, March 2003. This period will be used to complete the identification of building blocks, to identify gaps, to formulate action programmes, and to consolidate partnerships. Recommended financing strategies for identified components will also be developed during this design phase. The Multi-Stakeholder Forum itself will be used as a means to discuss and agree the final programmes of action before moving into the implementation phase.

The European Union's vision is for the initiative to grow into a major driving force in achieving the targets for poverty reduction, economic development, and peace and security throughout the world. The EU seeks to encourage the expansion of the initiative into other geographical regions. Discussions with key stakeholders in the Mediterranean region are already underway and it is likely that this will form the third regional focus. As the initiative grows it will provide a mechanism to learn from existing partnership initiatives and to encourage replication of successful factors in other geographical regions and thematic areas.

4.2.6 The New Partnership for Africa's Development (NEPAD)[149]

NEPAD is "a pledge by African leaders, based on a common vision and a firm and shared conviction, that they have a pressing duty to eradicate poverty and to place their countries, both individually and collectively, on a path of sustainable growth and development and, at the same time, to participate actively in the world economy and body politic."

In a document entitled "The New Partnership for Africa's Development", dated October 2001, a range of initiatives are identified as conditions for sustainable development. The Democracy and Political Governance Initiative includes a series of commitments by participating countries to create or consolidate basic governance processes and practices. The Economic and Corporate Governance Initiative actions the need to give high priority to public financial management; countries will develop a programme for improving financial management and targets, and assessment mechanisms will also be set in place.

Under sector priorities in the same document, NEPAD looks at ways of bridging the infrastructure gap. It states an objective to increase financial investments in infrastructure by lowering the risks facing private investors, especially in the area of policy and regulatory frameworks. Specifically in relation to water and sanitation, NEPAD states objectives to ensure sustainable access to safe and adequate clean water supply and sanitation, especially for the poor and to plan and manage water resources to become the basis for national and regional co-operation and development.

149 DFID/European Commission 2002

4.2.7 African Ministerial Council on Water (AMCOW)[150]

The African Ministerial Conference on Water was launched in Abuja, Nigeria in April 2002 at the inaugural meeting, attended by Ministers and their representatives from 41 African Countries. AMCOW is part of the NEPAD initiative. AMCOW was preceded by a multi-stakeholder meeting held in Accra in April 2002. A Steering Committee was established, which works in close collaboration with the African Water Task Force (see below). The AMCOW meeting adopted the Abuja Ministerial Declaration, in which the participants committed themselves to strengthening intergovernmental co-operation in order to halt and reverse the water crisis and sanitation problems in Africa, and to promoting the goals of the water-related components of NEPAD, as follows:

NEPAD Objectives relating to water

– To ensure sustainable access to safe and adequate clean water supply and sanitation, especially for the poor

– To plan and manage water resources to become a basis for national and regional co-operation and development

– To systematically address and sustain ecosystems, bio-diversity and wildlife;

– To co-operate on shared rivers among member states;

– To effectively address the threat of climate change;

– To ensure enhanced irrigation and rain-fed agriculture to improve agricultural production and food security;

Actions

– Accelerate work on multipurpose water resource projects; for example the SADC Water Secretariat's investigation of the utilisation of the Congo River, and the Nile Basin Initiative;

– Establish a task team to make plans for mitigating the negative impact of climate change in Africa;

– Collaborate with the Global Environmental Sanitation Initiative (GESI) in promoting sanitary waste disposal methods and projects;

– Support the UN Habitat programme on Water Conservation in African Cities

4.2.8 The African Water Task Force

In September 2001, under the guidance of the African Development Bank, representatives from over 20 regional and international organisations working with water in Africa met in Abidjan, Ivory Coast. The main purpose of this meeting was to encourage collaboration among the different organisations to promote synthesis, co-ordination and as a result use resources efficiently. They decided to establish an African Water Task Force (AWTF) to help define and synthesise Africa positions and programmes for the two forthcoming international events; the World Summit on Sustainable Development and the Third World Water Forum.

A Stakeholder Conference was held in Accra, Ghana, in April 2002, at which the Accra Declaration was formulated, outlining the key challenges and water issues for Africa together with recommendations for action. It was agreed at the Conference that the African Water Vision for 2025 provides an overarching framework for guiding the development of water resources in Africa and the implementation of its targets should be pursued. The participants endorsed the continued existence of the AWTF to promote collaboration and partnership on the continent and help define an African agenda for water within the framework of NEPAD. Specifically, the AWTF was mandated to continue co-ordinating the participation of Africa in the forthcoming world events including the WSSD in Johannesburg and the third World Water Forum.

150 Source: The Water Page – www.thewaterpage.com

4.3 International agreements

A Freshwater Action Network report prepared for the World Summit in Johannesburg lists the key inter-governmental agreements and policies with implications for water policy as follows:[151]

1972 The UN Conference on Human Environment – Stockholm, Sweden

This was the first attempt to move from a sectoral to a comprehensive approach including all aspects of environmental protection.

1977 Water Development and Management: proceedings of the United Nations Water Conference – Mar del Plata, Argentina

The main concerns in the conference were:

1) serious health consequences due to lack of safe and sanitary water supply; and

2) the need to give priority to the needs of the poor, the less privileged and to water-scarce areas.

1986 Declaration on the Right to Development

This Declaration is the United Nations High Commissioner for Human Rights (UNHCHR)'s document. It is required to "recognise that development is a comprehensive economic, social, cultural and political process and recall the right of peoples to exercise, subject to the relevant provisions of both International Covenants on Human Rights, full and complete sovereignty over all their natural wealth and resources (water)."

1990 The Global Consultation on Safe Water and Sanitation for the 1990s – Delhi, India

It is the Delhi Declaration that water and sanitation are the two most basic requirements for health and dignity all over the world. The principle of 'some for all, rather than more for some' should be underlying the process of access to water and sanitation, country specific, a critical component of social and economic development.

1992 Dublin Statement: International Conference on Water and the Environment (IWCE) –Dublin, Ireland

This is the outcome of Dublin Conference held just before the United Nations Conference on Environment and Development (UNCED) in Rio de Janeiro in June 1992. It sets out recommendations for action at local, national and international levels, based on four guiding principles:

• Fresh water is a finite and vulnerable resource, essential to sustain life, development and the environment

• Water development and management should be based on a participatory approach, involving users, planners and policy-makers at all levels

• Women play a central part in the provision, management and safeguarding of water

• Water has an economic value in all its competing uses and should be recognised as an economic good

151 Freshwater Action Network 2002

1992 The United Nations Conference on Environment and Development (UNCED) – Agenda 21, Chapter 18 – Rio de Janeiro, Brazil

Agenda 21 is a comprehensive plan of action for sustainable development to be taken globally, nationally and locally by organisations of the United Nations System, Governments, and Major Groups. The Chapter 18 of Agenda 21 deals with the development, management and use of water resources. One of the objectives of the Johannesburg Earth Summit 2002 process is to assess the progress made in implementing Agenda 21 – Chapter 18 is an important starting point.

Alternative Freshwater Treaty: International Setting and Issues in Water, Environment and Development

This report resulted from the NGO Global Forum held in parallel to the UN meeting in Rio. It provides principles, guidelines and strategies for NGOs to implement the Rio declarations to promote the conservation, ecological and socially sustainable management of water.

1995 The World Summit for Social Development – Copenhagen, Denmark

Poverty is characterised by deprivation of drinking water and sanitation. It is inseparable from the lack of control over resources (land, skills, capital, knowledge, and social connections). Regional specific programmes were called for to provide sustainable access to safe drinking and proper sanitation for all as basic human needs.

1995 World Conference on Women – Beijing, China

Women's roles as the main purveyors of agriculture, domestic water users along with the focus on human rights, equal opportunities and entitlement issues were pushed to the forefront of the international and political agenda. This led to the integration of women in the decision process for environmental governance.

1997 Comprehensive Assessment of the Freshwater Resources of the World

The assessment was presented to the 5th session of the United Nations Commission on Sustainable Development (UNCSD). In many countries, current pathways for water use are not sustainable, and the world faces a worsening series of local and regional water quantity and quality problems. It presents policy options to improve understanding of how to reach sustainable levels of water use, while satisfying a wide range of needs in agriculture, industry, household and the environment (ecosystems).

1997 Programme of the Further Implementation of Agenda 21 on Freshwater

This is the outcome of the United Nations General Assembly 19th Special Session. It requires governments to participate in a dialogue under the UNCSD to build a consensus on the necessary actions in order to implement the sustainable use of fresh water for social and economic purposes.

1998 The International Conference on Water – Paris, France

The Paris Declaration is based on the present situation of water scarcity, floods, drought, pollution and lack of infrastructure which pose a series of threats to social and economic development, global food security and the environment. The conference resulted in an urgent call on the international community, to accord priority to the provision of access to safe drinking water and sanitation for all.

1998 Strategic Approaches to Freshwater Management, Decision 6/1

This document was presented to the 6th session of the United Nations Commission on Sustainable Development (UNCSD) and outlines four strategic approaches, information and data for decision-making, institutions, capacity-building and participation, technology transfer and research co-operation, and financial resources and mechanisms.

2000 'We the Peoples' Millennium Forum

Declaration and Agenda for Action Strengthening the United Nations for the 21st Century – New York City, United States of America

This document is the outcome of the forum attended by NGOs and other civil society organisations held in the United Nations HQ in New York in 2000. It is geared towards NGOs and other civil society groups' action plan to strengthen the capacity of the United Nations in the 21st century. Water issues were dealt with under the agenda of 'Sustainable Development and the Environment'.

2000 Progress made in providing safe water supply and sanitation for all during the 1990s

This was presented to the 8th session of the UNCSD in 2000. It concludes that in spite of efforts to accelerate the rate of providing water and sanitation services, little has been made in reducing the number of people lacking access to safe water supply and particular sanitation facilities. It recommends governments assess the current situation of their basic water needs and sanitation in the new millennium.

2001 Bonn Recommendations for Action

The Bonn Recommendations for Action emerged from the International Conference on Freshwater, held in December 2001 and involving representatives from government, the private sector, and civil society. The Recommendations, which build on principles elaborated in the 2nd World Water Forum held in The Hague in March 2000, identify priority actions for water-related issues under three headings: governance, mobilising financial resources, and capacity building and sharing knowledge. Financing the water sector was analysed in detail, and five actions were developed and accepted by consensus:

• Ensure significant increases in all types of funding;
• Strengthen public funding capabilities;
• Improve economic efficiency to sustain operations and investment;
• Make water attractive for private investment;
• Increase development assistance to water.

2002 World Summit for Sustainable Development, Johannesburg, South Africa

Three key agreements relating to water were reached at the 2002 World Summit:

▶ Halve, by the year 2015, the proportion of people without access to safe drinking water *(reaffirmation of Millennium Development Goal)*

▶ Halve, by the year 2015, the proportion of people who do not have access to basic sanitation

▶ Develop integrated water resources management and water efficiency plans by 2005[152]

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152 www.johannesburgsummit.org

4.4 Resources for advocacy

This section lists a number of organisations and on-line services that may provide useful resource for advocacy planning; followed by additional resources for advocacy developed by WSSCC or its partners.

4.4.1 Organisations and On-line Resources

The following organisations are listed in this section:

- Gender and Water Alliance
- WELL
- Freshwater Action Network (FAN)
- Business Partners for Development (BPD)
- Sanitation Connection
- Streams of Knowledge
- Global Water Forum
- InterWATER Bulletin
- Source Bulletin
- The Water Page

Gender and Water Alliance

The Gender and Water Alliance is a network of 115 organisations and individuals from around the world with an independent steering committee. It is an Associated Programme of the Global Water Partnership (GWP) funded by the governments of the Netherlands and United Kingdom. It offers a mix of information and knowledge sharing activities such as electronic conferencing, a web site, advocacy leaflets, manuals and videos, annual facts and figures on gender and water, capacity building and pilot programmes.

GWA Secretariat
Maria Arce Moreira
Executive Secretary
C/o IRC International Water and Sanitation Centre
P.O. Box 2869
2601 CW Delft
The Netherlands
Tel: +31-15-219 2943
Fax: +31-15-219 0955
www.genderandwateralliance.org

WELL

The London School of Hygiene and Tropical Medicine (LSHTM) the IRC International Water and Sanitation Centre and the Water, Engineering and Development Centre (WEDC) at Loughborough University run WELL – Water and Environmental Health at London and Loughborough, a resource centre promoting environmental health and well-being in developing and transitional countries, funded by the UK Department for International Development. WELL's core activities include technical support to DFID; development of technical manuals and guidance notes; and technical assistance to representatives of developing countries, UN agencies and UK NGOs. A document service is also available.

The WELL website includes a services page with a technical assistance facility offering free advice to NGOs; technical briefs; and a library catalogue.

WELL can be contacted via the website: www.lboro.ac.uk/well/index.htm or through WEDC or LSHTM:

WEDC
Loughborough University
Leicestershire
LE11 3TU
UK
Tel: +44 (0) 1509 222885
Fax: +44 (0) 1509 211079
Email: WEDC@boro.ac.uk
Website: http://www.lboro.ac.uk/wedc

Freshwater Action Network (FAN)

The Freshwater Action Network is a global network of environmental and developmental Non-governmental and Community Based Organisations working to strengthen civil society's participation in international water policy formulation. It was created following WaterAid's Advocacy workshop held at the World Water Forum in March 2000. FAN aims to ensure that freshwater NGOs are strongly represented at international water policy forums and to ensure their voices are heard during the increasingly political water debates. FAN also aims to strengthen effective NGO participation in policy making throughout a cross-sectoral international network, incorporating the aims of different NGOs with a range of advocacy priorities.

FAN's objectives are to:
• Improve cross-sectoral dialogue between civil society organisations by developing and articulating joint policy messages
• Strengthen NGO participation in policy making and advocacy work
• Improve global co-operation between NGOs of differing perspectives, priorities and skills

• Increase the number of NGO advocates able to communicate clearly on policy issues and the broader agenda
• Act as a forum for international consultation on water
• Share relevant and accessible information on emerging issues

FAN works to achieve its objectives by:
• Timely policy information and practical guidance that enables the effective participation of NGOs in international policy making specifically targeting water related issues.
• Active generation and sharing of information by FAN members
• Assisting the co-ordination of NGO participation in key international policy forums relating to water
• Lobbying for greater NGO participation in international policy making
• Engaging the media
• Encouraging NGOs in policy dialogue with one another across the water sectors
• Advocacy Training Seminars

Freshwater Action Network
c/o WaterAid
Prince Consort House
27–29 Albert Embankment
London SE1 7UB
UK
Tel: +44 (0) 20 7793 4522
Fax: +44 (0) 20 7793 4545
Email : info@freshwateraction.net
Website: www.freshwateraction.net

Building Partnerships for Development (BPD)

Building Partnerships for Development is an informal network that brings together the public, private, donor and civil society sectors to support multi-sector partnerships to provide water and sanitation services in poor communities.

At the international level, the BPD members include major international NGOs working on water issues, donors; major multinational companies whose core business is the provision of water and sanitation services; and public sector officials from different projects. At the project level, members include the variety of stakeholders engaged in a partnership to implement water and sanitation projects. Whilst the BPD receives funding from the World Bank, the British Department for International Development, and private companies, the governance mechanism is multi-sector including these groups, NGOs, and public sector officials.

Through a small secretariat, the BPD supports a greater understanding of how partnerships actually work by:

1) conducting research on the interface between partnership and water themes,
2) facilitating relationships between different stakeholder groups at the project level,
3) building capacity of specific target groups to engage in and/or support partnership approaches, and
4) by sharing information and hence facilitating dialogue at the international level between a variety of interested stakeholders.

Research is aimed at practical issues that will inform both practitioners of partnerships and policymakers advocating for partnerships. The aim is to ensure that partnerships are approached in a realistic manner by all parties and that partners clearly recognise the depth of commitment they are making and the level of compromise they might need to undertake.

Building Partnerships for Development
Prince Consort House, 7th Floor
27–29 Albert Embankment
London SE1 7UB
United Kingdom
Tel: +44 (0)20 7793 4557
Fax: +44 (0)20 7582 0962
Email: info@bpd-waterandsanitation.org
Website: www.bpd-waterandsanitation.org

Sanitation Connection

Sanitation Connection (Sanicon), is a web portal that brings together in one place information on environmental sanitation. It aims to improve access to information on environmental sanitation by providing accurate, reliable and up-to-date information technologies, institutions and financing of sanitation systems around the world. Institutions of international standing contribute to the information base by providing and maintaining a topic of their specialisation.

Sanicon is conceived as a resource for people with different levels of knowledge on environmental sanitation who are categorised as having:

• Limited knowledge of environmental sanitation;
• A general knowledge of issues and technologies in environmental sanitation but limited knowledge of a specific topic; or
• Expert knowledge of a specific topic.

The information in Sanicon is organised by theme, topic and region. There is also a help-desk facility. The following themes are covered:

▸ Policies and Strategies
▸ Finance and Economics
▸ Technology
▸ Health and Social
▸ Environment
▸ Urban
▸ Rural
▸ Coastal Settlements

Each theme area is introduced on a separate page. Background information about the positive impact environmental sanitation can have on the theme area is provided. Users are directed to specific topic areas for information on environmental sanitation relevant to the theme.

The following topics are covered in Sanicon
• Advocacy
• Ecological Sanitation
• Financing and Cost Recovery
• Fluxes to Oceans
• Gender
• Health Aspects
• Hygiene Behaviour
• Institutional Development
• Low Cost Sewerage
• Monitoring and Evaluation
• On-Plot Sanitation Technology
• Participatory Approaches
• Promotion of Sanitation
• School Sanitation
• Small Communities
• Solid Waste Management
• Stormwater Management
• Wastewater reuse
• Wastewater Treatment Technology

Each topic area is developed by an organisation with a specialisation in the topic. Back-ground information is presented along with links to relevant websites. Information on publications (both hard-copy and electronic) is provided as well as information about electronic discussion lists relevant to each topic. The content is constantly reviewed and updated and peer reviewed for quality.

Sanicon has pages devoted to different regions of the world. At its current stage of development, only two regions are live: sub-Saharan Africa and the Middle East and North African regions. These pages provide information about organisations working in environmental sanitation in these regions. Links to resources relevant to environmental sanitation in the regions are also provided. In the future, these pages will be expanded to include East Asia and the Pacific; East Europe and Central Asia; Latin America and the Caribbean; and South Asia.

Users with a technical query on environmental sanitation can benefit through the Help-Desk. A technical request form is available which is filled out by the user online and submitted. It provides up-to-date timely and relevant information in response to demand from field-based practitioners, including:

▸ Immediate technical advice
▸ Referrals to technical and advisory groups around the world, project information , case studies and best practices
▸ Access to Sanitation Connection partner documents.
▸ Updates on on-going international and national events and workshops

Sanicon can be found at www.sanicon.net

STREAMS of Knowledge

STREAMS of Knowledge is a global coalition for capacity building in the water and sanitation sector, and was officially launched at the 2nd World Water Forum in The Hague in March 2000. Based at the International Water and Sanitation Centre (IRC) in the Netherlands, it consists of a global coalition of resource centres in the water and sanitation sector, with the mission to help to close the gap on unmet needs by:

- organising Streams of Knowledge,
- achieving equitable access to information,
- focusing knowledge where it can help to build capacity, and
- promoting action learning, hereby people benefit from their own experiences

The website includes the following:
- the complete Streams of Knowledge Toolbox, consisting of a set of downloadable tools,
- an introduction to the partners in the coalition
- a presentation, as made by Liqa Rashid during the Second World Water Forum
- documents and tools on the development of Resource Centres
- project-related documents

STREAMS of Knowledge
P O Box 2896
2601 Delft
The Netherlands
Tel: +31 15 219 2942
Website: www.streamsofknowledge.net

The founding members of the STREAMS of Knowledge coalition are:

CINARA: Instituto de Investigación y Desarollo en Agua Potable, Saneamiento Básico y Conservación del Recurso Hídrico
Apartado Aereo
25157
Cali
Colombia
Tel: +57 23 392345 / 57 23 393289
Fax: +57 23 393289
E-mail: edquirog@cinara.univalle.edu.co

CREPA: Centre Régional pour l'Eau Potable et l'Assainissement à faible coût
03 B.P. 7112
Ouagadougou 03
Burkina Faso
Tel: +226 366 210/11
Fax: +226 366 208
E-mail: crepa@fasonet.bf
http://www.oieau.fr/crepa

IRC: International Water and Sanitation Centre
P.O. Box 2869
2601 CW Delft
The Netherlands
Tel: +31 015 2192977
Fax: +31 015 2190955
http://www.irc.nl/

IWSD: Institute of Water and Sanitation Development
7 Maasdorp Avenue
P.O. Box MP 422
Mount Pleasant Harare
Zimbabwe
Tel./Fax: +263 4 738120, 735017, 735026, 735035
http://www.iwsd.co.zw

NETWAS International: Network for Water
and Sanitation International
P.O. Box 15614
Nairobi
Kenya
Tel: +254 2 890 555/6-8 / 2542 055460
Fax: +254 2 890 554
http://www.netwasgroup.com/

PCWS – ITN Foundation: Philippine Center
for Water and Sanitation
P-3 Minnesota Mansion
267 Ermin Garcia St.
Cubao, Quezon City
Philippines
Tel: +63 2 912 0531
Fax: +63 2 911 5783
E-mail: itnphil@ compass.com.ph
http://www.itnphil.org.ph/

pS-Eau: Programme Solidarité Eau
32 rue Le Peletier
75009 Paris, France
Tel: +33 1 53 34 91 20
Fax: +33 1 53 39 91 21
http://www.pseau.org/

SKAT
Vadianstr.42
CH-9000 St.Gallen
Switzerland
Tel: +41 71 228 54 54
Fax: +41 71 228 54 55
http://www.skat.ch/

Global Water Forum

The Water Forum is an on-line venue spon-
sored by the Global Water Partnership with
funds from UNDP, and maintained by the
Stockholm Environment Institute. The site of-
fers a venue for international agencies, indi-
viduals, local communities, the private sector,
academia, governments and NGOs wishing
to exchange information and explore topical

issues. It has links to various databases, li-
braries and other websites, offers discussion
groups and provides networking facilities.
Website: www.gwpforum.org

InterWATER Bulletin

InterWATER is a directory of organisations in
the water and sanitation sector and offers con-
tact information about organisations and net-
works in the water supply and sanitation sec-
tor related to developing countries. These or-
ganisations are able to provide additional
information in various forms, including
newsletters, reports and publications, technical
expertise, products, training courses and In-
ternet sources. InterWATER is maintained and
co-ordinated by IRC International Water and
Sanitation Centre under the auspices of the
Water Supply and Sanitation Collaborative
Council. Visit: www.irc.nl/interwater/index.php

Source Bulletin

Source is a joint endeavour between IRC In-
ternational Water and Sanitation Centre and
the WSSCC Secretariat. It aims to provide
regular digests of current news in the sector
under a series of common headings including:
- international news
- news from the regions
- resources

It is accompanied by a bi-monthly special fea-
tures edition. Source is available both as an
electronic newsletter, via the web, and as hard
copy. Visit: www.irc.nl/source/index.php

The Water Page

The Water Page is an independent initiative
dedicated to the promotion of sustainable
water resources management and use. It
grew out of the Africa Water Page, which was
established in Johannesburg, South Africa by
Len Abrams in December 1996. A particular
emphasis is placed on the development, util-

isation and protection of water in Africa and other developing regions.

The mission of The Water Page is –
- To provide a quality service to the public and the water sector at local, national and international levels, through which sustainable water resources protection, development and utilisation is promoted.
- To provide independent and critical comment on and analysis of water issues.
- To specifically promote sound water resources management and water related public health issues (water supply and sanitation) in developing countries.

The Water Page has a magazine type format which is updated with new material, features, news and editorial comment each month. The material for each month is maintained on the site for future access.

Website: www.thewaterpage.com

4.4.2 Information and resources

This section contains additional resources that may be useful for National Co-ordinators in developing, planning and managing local campaigns. The materials have been developed by WSSCC or its partners:

- The Household Centred Environmental Sanitation Concept
- Guiding Principles for Country Level Collaboration
- Code of Ethics on Hygiene, Sanitation and Water Supply Services
- Developing Indicators for Monitoring Water Supply, Sanitation and Hygiene

WASH Facts and Figures

The WHO/UNICEF Joint Monitoring Programme (JMP) produces a set of Global Assessment data on water supply and sanitation, which is used by most actors in the sector as a baseline. Updated figures from the 2000 Global Assessment Report, by region and country, can be found on the UNICEF statistics website at www.childinfo.org. Additional facts and figures that may be useful for advocacy include the following.

1. 1.1 billion people in the world do not have access to safe water, roughly one-sixth of the world's population.
2. 2.4 billion people in the world do not have access to adequate sanitation, about two-fifths of the world's population.
3. 2.2 million people in developing countries, most of them children, die every year from diseases associated with lack of access to safe drinking water, inadequate sanitation and poor hygiene.
4. Some 6,000 children die every day from diseases associated with lack of access to safe drinking water, inadequate sanitation and poor hygiene – equivalent to 20 jumbo jets crashing every day.
5. At any one time it is estimated that half of the world's hospital beds are occupied by patients suffering from water-borne diseases.
6. 200 million people in the world are infected with schistosomiasis, of which 20 million suffer severe consequences. The disease is still found in 74 countries of the world. Scientific studies show that a 77% reduction of incidence from the disease was achieved through well designed water and sanitation interventions.
7. The average distance that women in Africa and Asia walk to collect water is 6 km.
8. The weight of water that women in Africa and Asia carry on their heads is the equivalent of your airport luggage allowance (20kg).

Sources

5, 7, 8, 9, 10, 11, 13, 14, 15, 21, 22, 23, 24, 25: WaterAid

6, 25: WELL Technical Brief (http://www.lboro.ac.uk/well/ services/tecbriefs/factoids.htm)

16: Water for African Cities presentation, Stockholm Water Symposium, August 2001

12: Vision 21 – Water For People, March 2000, WSSCC

1, 2, 3, 4, 19: WHO/UNICEF/ WSSCC Global Water Supply and Sanitation Assessment 2000 Report

17: WELL Planned Work studies 163 and 164.

20: Saadé et al (2001) The Story of a Successful Public-Private Partnership in Central America: Handwashing for Diarrhoeal Disease Prevention. BASICS, EHP, UNICEF, USAID and The World Bank

27: (Esrey and Andersson (1999), Environmental Sanitation from an Ecological Systems Approach. See: www.wsscc.org/vision21/docs/ doc39.html)

26: (10/90 Report on Health Research, 2000. Global Forum for Health Research)

18: (IHE Newsletter, January 2001)

28: (Advocating Sanitation – how, why and when? Sanitation Connection: http://www.sanicon.net/titles/ topicintro.php3/topicId=1)

9. The average person in the developing world uses 10 litres of water a day.

10. The average person in the United Kingdom uses 135 litres of water every day.

11. One flush of the toilet uses as much water as the average person in the developing world uses for a whole day's washing, cleaning, cooking and drinking.

12. Comparative costs: In Europe $11 billion is spent each year on ice cream; in USA and Europe, $17 billion is spent on pet food; in Europe $105 billion is spent annually on alcoholic drinks, ten times the amount required to ensure water, sanitation and hygiene for all.

13. In the past 10 years diarrhoea has killed more children than all the people lost to armed conflict since World War II.

14. In China, India and Indonesia twice as many people are dying from diarrhoeal diseases as from HIV/AIDS.

15. In 1998, 308,000 people died from war in Africa, but more than two million (six times as many) died of diarrhoeal disease.

16. The population of the Kibeira slum in Nairobi, Kenya pay up to five times the price for a litre of water than the average American citizen.

17. An estimated 25% of people in developing country cities use water vendors purchasing their water at significantly higher prices than piped water.

18. Projections for 2025 indicate that the number of people living in water-stressed countries will increase to 3 billion – a six-fold increase. Today, 470 million people live in regions where severe shortages exist.

19. The simple act of washing hands with soap and water can reduce diarrhoeal disease by one-third.

20. Following the introduction of the Guatemalan Handwashing Initiative in 1998, there were 322,000 fewer cases of diarrhoea each year amongst the 1.5 million children under 5 nationwide in the country's lowest income groups.

21. In Zambia, one in five children dies before their fifth birthday. In contrast in the UK less than 1% of children die before they reach the age of five.

22. A study in Karachi found that people living in areas without adequate sanitation who had no hygiene education spend six times more on medical treatments than those with sanitation facilities.

23. Waterborne diseases (the consequence of a combination of lack of clean water supply and inadequate sanitation) cost the Indian economy 73 million working days a year. A cholera outbreak in Peru in the early 1990s cost the economy US$1 billion in lost tourism and agricultural exports in just 10 weeks.

24. Improved water quality reduces childhood diarrhoea by 15–20%, but better hygiene through handwashing and safe food handling reduces it by 35%, and safe disposal of children's faeces leads to a reduction of nearly 40%.

25. At any time, 1.5 billion people suffer from parasitic worm infections stemming from human excreta and solid wastes in the environment. Intestinal worms can be controlled through better sanitation, hygiene and water. These parasites can lead to malnutrition, anaemia and retarded growth, depending upon the severity of the infection.

26. It is estimated that pneumonia, diarrhoea, tuberculosis and malaria, which account for 20% of the global disease burden, receive less than 1% of total public and private funds devoted to health research.

27. Ecological sanitation is one option being practised in some communities in China, Mexico, Vietnam, etc. Excreta contain valuable nutrients. We produce 4.56 kg

Scaling down the numbers to sharpen your message[153]

Scaling down statistics can help your advocacy targets to grasp the impact of the data you wish to convey to them, particularly when very large numbers are involved. If, for example, you know that 100,000 children suffer each year in your country from diarrhoea related to poor water supply and sanitation, you can break this figure down in a number of ways, as follows.

First, you can show the *proportion* of children affected in your country. If there are 5 million children in your country, you can divide 5 million by 100,000, to show that one out of every 50 children in the country is affected by diarrhoea.

Second, you can show how many children are affected *each day*. Divide 100,000 by 365 days, to show that 274 children are affected every day from diarrhoea in your country.

Third, if you know the population figures for your town or city, you can show how many children are affected *in your town or city* each day. If the child population is 400,000, this figure divided by 5 million gives the percentage of the national children's population living in your city (8%). Eight per cent of the national total, 100,000, gives the number of children affected in your city each year – 8,000. You can break this figure down further by dividing it by the number of days in the year (365), to give the figure of nearly 22 children affected each day in your city.

nitrogen, 0.55 kg phosphorous, and 1.28 kg potassium per person per year from faeces and urine. This is enough to produce wheat and maize for one person every year.

28. One gram of faeces can contains: 10,000,000 Viruses, 1,000,000 bacteria, 1,000 parasite cysts, 100 parasite eggs.

Activities to introduce Vision 21/IAP in a country

The following points were generated in an informal meeting of Streams of Knowledge Coordinators at IRC in Delft in March/April 2001, as part of a discussion on how to introduce Vision 21/IAP in a specific country:

1. Preparation and Assessment
- Preparatory discussions with governmental agencies to establish programme;
- Formal adoption of Vision 21-IAP by the government (ministerial meeting including outline proposal for development and implementation and resource allocation);
- Take stock of existing policies (policies, strategies, methodologies like PHAST, manuals on WSS, legislation) and identify

153 Based on Cohen, de la Vega and Watson, 2001:103

their relevance in the light of Vision 21-IAP principles (develop checklist);

- Conduct baseline survey (sample survey) on what is current situation existing / planned;
- Establish indicators and targets. This may be done, for example, in a workshop, which may be particularly useful for sanitation. Support can be provided by the Council's Monitoring Group;
- Explore available actors that can support Vision 21 implementation.

2. Advocacy / social mobilisation
- Initiate a campaign for raising awareness on the IAP / core points of Vision 21 with strategic partners (materials, posters etc);
- Promote and distribute Vision 21-IAP through media (TV / radio / newspapers / magazines) and partners (develop video on Vision 21, reach out to media practitioners / companies) to different levels (local, professional and policy/decision making target).

3. Capacity Building
- Build capacity of selected NGOs/resource persons to be IAP agents / Vision 21 cadres / RCs (training of trainers);
- Training of selected stakeholders (particularly municipal and provincial level government on participatory baseline gathering and planning (MPA) and application of the Vision 21-IAP principles;
- Promote integration of Vision 21-IAP core principles into various training activities.

4. Learning projects
- Formulate through participatory planning one or two learning projects in specific areas (district, urban area) and on priority themes including environmental sanitation and hygiene, household centred ap-

proaches etc. where Vision 21 principles and IAP activities are taken into account.
- Implement and monitor learning projects and establish action plans working with different actors (synergy);
- Review and disseminate lessons learned of learning projects in electronic and hard copy form (success and failure).

5. Monitoring and Evaluation
- Establish a monitoring team who will keep track of the monitoring indicators, with support from the Council's Monitoring Group.

6. Resource mobilisation and support
- Establish fundraising discussions with government, ESA's and civil society;
- Count on support from WSSCC and the SoK coalition for advocacy and information sharing;
- Strengthening the partnership with organisations at national, regional and international level; exchange of information, joint activities.

The Household-Centred Environmental Sanitation Concept

In the world today, 1.2 billion people are without access to safe drinking water, 3 billion are without proper sanitation, and 50% of solid wastes remain uncollected. Meeting at Bellagio from 1–4 February 2000, an expert group brought together by the Environmental Sanitation Working Group of the Water Supply and Sanitation Collaborative Council agreed that current waste management policies and practices are abusive to human well-being, economically unaffordable and environmentally unsustainable. They therefore called for a radical overhaul of conventional policies and practices world-wide, and of the assumptions on which they are based, in order to acceler-

ate progress towards the objective of universal access to safe environmental sanitation, within a framework of water and environmental security and respect for the economic value of wastes.

The WSSCC has defined environmental sanitation (ES) as: "Interventions to reduce peoples' exposure to disease by providing a clean environment in which to live, with measures to break the cycle of disease. This usually includes hygienic management of human and animal excreta, refuse, wastewater, stormwater, the control of disease vectors, and the provision of washing facilities for personal and domestic hygiene. ES involves both behaviours and facilities which work together to form a hygienic environment."

The principles governing the new approach are as follows:

• Human dignity, quality of life and environmental security should be at the centre of the new approach, which should be responsive and accountable to needs and demands in the local setting.
· solutions should be tailored to the full spectrum of social, economic, health and environmental concerns
· the household and community environment should be protected
· the economic opportunities of waste recovery and use should be harnessed

• In line with good governance principles, decision-making should involve participation of all stakeholders, especially the consumers and providers of services.
· decision-making at all levels should be based on informed choices
· incentives for provision and consumption of services and facilities should be consistent with the overall goal and objective

· rights of consumers and providers should be balanced by responsibilities to the wider human community and environment

• Waste should be considered a resource, and its management should be holistic and form part of integrated water resources, nutrient flows and waste management processes.
· inputs should be reduced so as to promote efficiency and water and environmental security
· exports of waste should be minimised to promote efficiency and reduce the spread of pollution
· wastewater should be recycled and added to the water budget

• The domain in which environmental sanitation problems are resolved should be kept to the minimum practicable size (household, community, town, district, catchment, and city) and wastes diluted as little as possible.
· waste should be managed as close as possible to its source
· water should be minimally used to transport waste
· additional technologies for waste sanitisation and reuse should be developed

Guiding Principles for Country Level Collaboration (CLC)

The Collaborative Council identified country level collaboration as being a prime requirement for the successful development of the water supply and sanitation sector. The Council set up a working group which reviewed experience through case studies carried out around the world and developed guidelines on the most appropriate ways of achieving effective collaboration at the country level. Some of the salient findings and the mecha-

nisms for collaboration identified are enumerated below.

A. *General Principles*

(i) Providing sustainable services to the people should be the fundamental objective;

(ii) The constantly changing circumstances (political, financial, institutional, etc.) need to be understood by all participants so that CLC activities can remain relevant and realistic;

(iii) External and domestic support agencies (ESAs and DSAs) must understand and emphasise the "supportive" nature of their role – water supply and sanitation problems are owned by the local people and their institutions;

(iv) The nature and type of ESA involvement in CLC in each specific country should reflect their degree of participation in the sector;

(v) Sharing resources in maximising benefits and minimising cost enhances CLC;

(vi) Good CLC depends on good communication and mutual trust between people in the process and CLC efficiency is enhanced when there is continuity among key players;

(vii) Successful CLC activities are often due to the initiatives of a few key people, who are perceived to be relatively neutral;

(viii) CLC is complex with different linkages (horizontal, vertical and in-between) and this needs to be analysed and understood for effective CLC.

B. *Overall Sector Co-ordination*

(i) Collaboration will only take place between parties which perceive a net gain from doing so. Complementarity of needs enhances collaboration.

(ii) Effective co-ordination is best achieved through providing a service in collaboration with sector actors, rather than through control.

(iii) The co-ordinating body should not only be perceived to be neutral and not subject to the principal government agency or ESA for the sector, but should also really be so.

(iv) A responsive and capable secretariat and especially one that is independent and enjoys the respect and support of the principal sector agencies and ESAs is an important asset to the co-ordinating body.

(v) The co-ordinating body can play an important role in increasing the legitimacy and responsibility of those it attempts to co-ordinate by endorsing their policies and roles.

C. *External Support Agency-Government Co-ordination*

(i) Consultation meetings are best held in an informal atmosphere with social interaction and frank exchange of views;

(ii) They are most effective as a series rather than one-off. Reliable funding for a series of consultative meetings is essential.

(iii) Whilst commitment is seldom possible during consultation, participants in positions of authority are desirable for credible representation of institutions to facilitate follow-up on informal agreements.

D. *Sector Planning and Strategic Investment Planning*

(i) Sector planning involving the communities, NGOs and local government enhances collaboration;

(ii) Windows of opportunity are presented when governments undertake new overall policy initiatives such as for poverty alleviation, decentralisation, etc.

to have sectoral policy changes discussed and approved and additional funds needed obtained;

(iii) Strong ESA influence is to be avoided..

E. *Programme and Project Planning and Implementation*

(i) The commonly used arrangements for co-ordination are Steering Committees but as far as possible, they should be limited in numbers to those relevant to the project.

(ii) Project implementation usually needs the collaboration of several bodies and groups and transparency of project details will help develop understanding and trust amongst collaborators.

(iii) Secondment of personnel between government departments is a valuable form of resource sharing which builds horizontal links between organisations.

(iv) NGOs are valuable assets to sector development and collaboration. Workshops and joint participation will break down barriers and create mutual respect.

(v) Due attention must be given to the needs and objectives of all partners. Sensitive issues (political objectives and mandates) merit due attention.

F. *Issues Resolution/Problem Solving*

A Task Force is a useful collaborative mechanism for resolution of an issue or for problem solving. It is time defined; task oriented and focused; and low profile. The objectives, interests and perspectives of each collaborator can be directly addressed and made more accountable.

G. *Informal Collaboration*

Both formal and informal collaboration is essential to the smooth operation of the sector. Informal collaboration builds on long standing relationships between sector professionals and can cut through bureaucratic red-tape and build horizontal linkages between institutions. Friends can resolve seemingly insurmountable difficulties. Examples – old school network or batchmates; social events amongst professional colleagues; and professional association meetings.

H. Some Mechanisms for Collaboration
• Formal and informal sector co-ordination bodies on which all concerned parties are represented: government and non-government organisations, community representatives and (rarely in the past, but certainly recommended in the future) professional and trade associations, in planning, budgeting, project selection, in ways which ensure accountability to the consumer.
• Regular donor-sponsored consultations at central and project levels, which provide a broad overview and plans for sector development (institutional, service levels, financing, community management, and maintenance) over the long term.
• Project steering committees representing the interests of all parties to the process before and during project implementation.
• Task forces created to resolve specific issues.
• Sector information and resource centres and data banks responding to the information needs of the entire sector.
• Local, regional and national fora through which community organisations, NGOs and local bodies (formal and informal) can express their views and be heard. These fora can be effective means of ensuring that the voice of consumer is heard. Thailand has good examples of

such fora that are active in environmental affairs and in supporting sustainable local development projects.
• Professional associations that support quality control through the maintenance of professional standards, and also act to introduce new concepts and approaches to the sector.
• Demonstration projects for testing new technologies or implementation methodologies.

Code of ethics on hygiene, sanitation and water supply services

The Code of Ethics was developed in November 1997 by the Working Group on *Community Management and Partnerships with Civil Society* set up by the Water Supply and Sanitation Collaborative Council. It was revised in May 1999 further to a broad consultation reaching out to 300 people during the VISION 21 process and finalised in August 2000.

Preamble

This code of ethics is a statement of principles and ethics providing guidance to all interveners and communities involved in hygiene, sanitation and water supply schemes. The Code is based on the recognition of access to safe water and sanitation services as fundamental human rights, and of hygiene as a prerequisite. The Code puts households and communities in charge of their own development and services with the support of other interveners.

The Code is aimed at interveners participating in community projects and at communities initiating their hygiene, sanitation and water supply schemes or participating in interveners' schemes.

The Code is the results of meetings held by the Water Supply and Sanitation Collaborative Council's *Working Group on community management and partnerships in civil society* in Africa, Asia and Latin America. The Code is in line with Vision 21 brought out by the Water Supply and Sanitation Collaborative Council.

The Code is part of the redefinition of interveners' role where:
• a reversal in prevalent directions of thinking and action is needed, starting at the level of households or neighbourhoods, working up from there to community and higher levels, while requiring enabling actions from the government;
• the role of the state remains indispensable to provide legislative and institutional arrangements that will foster access to an hygienic environment, safe water and sanitation to all citizens;
• the partnership between the community and other interveners is based on mutual trust, clear roles and responsibilities of each partner and fair rules of the game;
• community involvement is a gradual learning process which must be envisaged with a long-term perspective.

Principles stated in the Code are inspired by the *Montreal Charter on Drinking Water and Sanitation.* If these principles are met, communities will be in a better position to manage hygiene, sanitation and water supply schemes and pay for services.

General Objective

To get communities and interveners to agree upon and honour the following principles based on equal and gender balanced partnership.

Specific Objectives

- To contribute to ongoing efforts by practitioners involved in hygiene, sanitation and water supply scheme towards greater self-reliance, self-respect and equity, as well as commitment to the sound use of water resources.
- To encourage local organisations to develop a collective capacity for advocacy, so as to articulate the felt needs of the constituencies they serve.
- To serve as a guide for improving the partnership between communities and interveners by setting out modalities that will foster a rapid shift from money-dominated relationships to a partnership approach.
- To foster a genuine commitment on the part of all interveners to recognise the importance of a locally-driven approach to the challenges of any hygiene, sanitation and water supply scheme and to focus their attention on the felt needs of communities.
- To encourage dialogue among interveners and communities on potential conflicts related to hygiene, sanitation and water supply schemes.

The Principles

1- Communities are the core of any initiative in hygiene, sanitation and water supply scheme and they need means of empowerment to make it possible. Their needs, role and contribution are clearly defined in a partnership agreement.

2- When undertaking hygiene, sanitation and water supply schemes, interveners put an emphasis on affordable and adequate service level measured by indicators of health, well-being, self-reliance and equity.

3- Adequate sanitation and hygiene practices receive equal importance and are made integral part of hygiene, sanitation and water supply schemes.

4- Integrating gender equality into planning and action is a key factor to ensure sound performance of hygiene, sanitation and water supply schemes.

5- Community organisations get a legal status within an enabling environment allowing them to operate in security, own the assets or control the source.

Communities along with other interveners have access and right to all information concerning hygiene, sanitation and water supply schemes to achieve and equal and transparent relationship.

6- Indigenous leadership whenever available is strongly encouraged and supported in all stages of hygiene, sanitation and water supply schemes.

7- Communities and interveners incorporate traditional/local knowledge, skills and socio-cultural practices available within the community to maximise the effectiveness of hygiene, sanitation and water supply schemes.

8- Communities are supported by interveners to foster the use of local know-how and strengthen their capacities and institutions in order to assure an efficient and sustainable management of hygiene, sanitation and water supply schemes.

9- The choice of the most appropriate sanitation and water supply technology, hygiene practices and service level is discussed and decided between interveners and communities previously informed about the various options.

10- Water and sanitation pricing and tariffs are based on equitable and non discriminatory water consumption patterns among users.

11- Communities and interveners decide together on the ownership, operation and maintenance of the assets created.

12- Interveners give priority to basic domestic and productive needs of people un-

served and/or poorly served by hygiene, sanitation and water supply services before exploiting water resources for other purposes.

13- Communities and interveners assure that any hygiene, sanitation and water supply scheme safeguards a clean environment and quality of sources. Environmentally sound treatment, recycling and re-use of domestic waste and wastewater and disposal of human excreta are primary concerns.

We the interveners and communities agree to abide and honour the above mentioned principles and ethics.

Developing Indicators for Monitoring Water Supply, Sanitation and Hygiene

Monitoring data can play a significant role in advocacy – both data on coverage and access to water supply, sanitation and hygiene services, and on policy implementation. Civil society organisations may make a considerable contribution to increasing access by carrying out an independent monitoring role, and thus providing data to support advocacy initiatives and increase pressure for policy implementation.

The Water Supply and Sanitation Collaborative Council co-ordinates a Monitoring Group, which includes representatives from UNICEF, WHO, World Water Action Programme, EHP/Macro, WELL, IRC and Southern Centres with an interest in the sector. The group has identified monitoring needs in the water supply, sanitation and hygiene sector and plans activities to meet those needs. The output of the group will feed into the WHO/UNICEF Joint Monitoring Programme, but will also be useful for individual organisations and groups wishing to monitor water and sanitation coverage and impact. The group is focusing on three key areas: indicators of access to water supply and sanitation, household survey design, and monitoring of hygiene. Survey methodology and indicators are currently being piloted in several countries and the results will be presented at the Third World Water Forum in Kyoto in March 2003. Further information is available from the WSSCC Secretariat.

4.5 Further reading

This Section lists some publications and reports on advocacy and related topics which may be useful for further reading. Entries marked * are taken from the annotated bibliography prepared by Dr Alan Hudson for the BOND Guidance Notes No. 6 and the BOND Advocacy Training Notes. Entries marked + are taken from the annotated bibliography prepared by Dr Alan Hudson that is available on his website: http://www.alan-hudson.plus.com. The references are presented under the following headings:

- ▸ Advocacy guides and training materials
- ▸ Civil society organisations and advocacy
- ▸ Civil society organisations and legitimacy
- ▸ Campaigning and lobbying
- ▸ Research, monitoring and evaluation

A full list of the documents referred to in the text is given in the Bibliography Section following.

Advocacy guides and training materials

Many international civil society organisations have produced their own advocacy guides or training manuals, most of which focus on general advocacy:

Atkins, A. and Gordon, G., 1999. **Advocacy Study Pack** Tearfund Case Study Series, Tearfund, UK
Tearfund's introduction to advocacy, including the organisation's Christian-based rationale for involvement in advocacy work

BOND, 1999. **Introducing Advocacy** BOND Guidance Notes Nos.1–6, London
Notes produced by BOND following their

training course on advocacy. An accessible introduction to some of the key questions and issues to consider when planning advocacy

Chapman, J. and Fisher, T., 1999. **Effective NGO Campaigning** New Economics Foundation, London
A useful discussion of NGO experiences in campaigning, focusing on two particular examples but drawing more general conclusions based on a wide literature review

Cohen, D., de la Vega, R., and Watson, G., 2001. **Advocacy for Social Justice: a global action and reflection guide** Kumarian Press, Bloomfield, USA
Comprehensive general advocacy guide, with useful exercises and worksheets for planning advocacy work

Global Women in Politics: The Asia Foundation, and Center for Legislative Development, 1997. **Perspectives on Advocacy, Participation and Social Change** Report of the Asia-Pacific Regional Advocacy Training of Trainers, Subic, Philippines.
Comprehensive workshop report from an advocacy training session, with many useful exercises and explanations. Focus on general advocacy for women, including citizen participation and community mobilisation. Some overlap with Miller and Covey 1997, and with Veneklasen 2002, as Valerie Miller and Lisa Veneklasen were two of the facilitators.

Miller, V. and Covey, J., 1997. **Advocacy Sourcebook: Frameworks for Planning, Action and Reflection** Institute for Development Research (IDR), USA
Comprehensive and thorough guide to planning advocacy. General focus including citizen participation and community mobilisation

NCAS/Christian Aid, 1999. **Advocacy Workshop** June 6–12, 1999. SEARCH Training Centre, Bangalore.
Report of advocacy training workshop carried out in India. Contains useful background information on the Indian bureaucracy, judiciary and legislative system

Oxfam, 1994. **Guide to Campaign planning: Oxfam UK/Ire Campaign, June 1995–2000** Policy Department, Oxfam, UK
Oxfam's guide to campaign planning, in the context of the organisation's internationally agreed campaign issues. General campaign planning guidelines followed by details on particular advocacy targets and related activities

Sharma, R.R., no date. **An Introduction to Advocacy: Training Guide** Support for Analysis and Research in Africa (SARA) and Health and Human Resources Analysis for Africa (HHRRA), USAID Office of Sustainable Development, USA
General advocacy guide with useful training exercises

Tearfund 2001. **Advocacy and Water: a practical guide** Tearfund Advocacy Guidelines, Tearfund, UK
Includes a discussion on the water crisis, regional water issues and case studies of water advocacy. Practical steps for advoca-cy planning are covered by Tearfund's earlier, more general, guide (Atkins and Gordon, 1999).

Veneklasen, L., with Valerie Miller, 2002. **A New Weave of Power, People and Politics: The Action Guide for Advocacy and Citizen Participation** World Neighbours, Oklahoma City
General advocacy guide that builds on the Global Women in Politics 1997 workshop

* Wilkinson, M., 1996. Lobbying for fair trade: Northern NGOs, the European Community and the GATT Uruguay Round **Third World Quarterly** Vol.17, pp251–267
Case study of the processes of lobbying, issues and problems

Wilson, D., with L. Andrews, 1993. **Campaigning: the A to Z of public advocacy** Hawksmere, London
An accessible guide to UK advocacy, with useful background information on UK parliamentary lobbying, media etc.

Civil society organisations and advocacy

*Clark, J., 1992. Policy influence, lobbying and advocacy in: Edwards, M. and Hulme, D., **Making a Difference: NGOs and development in a changing world** Earthscan, London
Some history and background to advocacy campaigns, successes, failures, strengths and weaknesses

* Edwards, M., 1993. Does the doormat influence the boot?: critical thoughts on UK NGOs and international advocacy **Development in Practice** Vol.3, pp163–175
Excellent discussion on UK NGOs and international advocacy, forms of advocacy, problems and possibilities

* Edwards, M. and Hulme, D., 1992. **Making a Difference: NGOs and Development in a Changing World** Save the Children and Earthscan, London
Papers from the first major UK NGOs conference – useful background about the 'New Policy Agenda', 'scaling up' and the beginnings of a shift towards advocacy

* Edwards, M. and Hulme, D., 1995. **Non-governmental organisations – performance and accountability: beyond the magic bullet** (eds.) Save the Children and Earthscan, London
Papers from the second major UK NGOs conference – useful discussions of evaluating effectiveness

+ Fowler, A., 1997. **Striking a balance: a guide to enhancing the effectiveness of non-governmental organisations in international development** Earthscan, London
Excellent book dealing with a whole range of NGO activities. Very user-friendly and addressed to NGO practitioners. Includes sections on North-South relations, and advocacy.

* Keck, M. and Sikkink, K., 1998. **Activists beyond borders: Advocacy networks in international politics** Cornell University Press, London
Detailed analysis of transnational advocacy networks, particularly in relation to human rights

+ Malena, C., 1995. Relations between Northern and Southern NGOs **Canadian Journal of Development Studies** Vol.16, pp7–30
Interesting review of the issues facing Northern and Southern NGOs trying to develop partnerships

* Nelson, P., 1996. Internationalizing economic and environmental policy: Transnational NGO networks and the World Bank's expanding influence **Millennium** Vol.25
Useful discussion of the impact of NGO advocacy to the World Bank, and its unintended consequences in expanding the remit of the World Bank

+ Taylor, M., 1999. Influencing policy: a UK voluntary sector perspective in: D. Lewis (ed.) **International perspectives on voluntary action: reshaping the third sector** Earthscan, London
Up-to-date chapter on advocacy in terms of the UK voluntary sector

* World Vision, 1997. **Transnational NGOs and advocacy** Discussion Paper No. 5, World Vision, UK
Special issue providing background to international NGOs and advocacy – short collection of brief papers.

Civil society organisations and legitimacy
* Cleary, S., 1995. In whose interest? NGO advocacy campaigns and the poorest: An exploration of two Indonesian examples **International Relations** Vol.12, pp9–35
Useful critique of NGO advocacy with case studies

Hudson, A., 2001. Making the connection: legitimacy claims, legitimacy chains and northern NGOs international advocacy in: D. Lewis and T. Wallace (eds.) **After The 'New Policy Agenda'? Non-governmental organisations and the search for development alternatives** Kumarian Press
Useful discussion of the need and opportunities for establishing NGO legitimacy in advocacy work

* Nelson, P., 1997. Conflict, legitimacy and effectiveness: who speaks for whom in transnational NGO networks lobbying the World Bank? **Non-Profit and Voluntary Sector Quarterly** Vol.26, pp421–41
Useful discussion about legitimacy and impact of NGO networks lobbying the World Bank

Nyamugasira, W., 1998. NGOs and advocacy: how well are the poor represented? **Development in Practice** Vol. 8, pp297–308
Critique of civil society organisations' advocacy in relation to issues of legitimacy

Research, monitoring and evaluation

+ Baranyi, S., Kibble, S., Kohen, A. and O'Neill, K, 1997. **Making solidarity effective: Northern voluntary organisations, policy advocacy and the promotion of peace in Angola and East Timor** Catholic Institute for International Relations, London
One of the few efforts to grapple with effectiveness, in terms of the relative/comparative effectiveness of different advocacy activities

BOND, 1999. **Introducing Advocacy: monitoring and evaluating advocacy** BOND Guidance Notes No.6, London.
Summary of some of the key issues and points to consider when planning M and E of advocacy work

Chapman, J. and Wameyo, A., 2001. **Monitoring and Evaluating Advocacy: a scoping study** ActionAid, London.
Scoping study carried out at the beginning of a three year project to explore ways of monitoring and evaluating advocacy work throughout the organisation. Useful overview of different frameworks used by a number of organisations for evaluating advocacy at different levels and stages of the decision-making process.

* Fowler, A., 1995. **Participatory self-assessment of NGO capacity** INTRAC Occasional Papers Vol.10
User-friendly guide to evaluation. Contains some useful conceptual frameworks and ideas about indicators

* Fowler, A., 1996. Demonstrating NGO performance: problems and possibilities **Development in Practice** Vol.5 pp58–65
Discussion of some of the problems faced by civil society organisations in evaluating performance – multiple stakeholders, no bottom line, etc.

Nichols, P., 1991. **Social survey methods: a field guide for development workers** Development Guidelines No. 6, Oxfam, UK
Companion volume to Pratt and Loizos (below), focusing on surveys: describes in detail the steps involved in planning and conducting a social survey

Pratt, B. and Loizos, P., 1992. **Choosing research methods: data collection for development workers** Development Guidelines No.7, Oxfam, UK
Very useful guide for planning research; details the different methods with their advantages and disadvantages

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Comprehensive and thorough discussion of impact assessment. Includes a chapter devoted to advocacy impact assessment, which builds on Roche and Bush 1997 and discusses various approaches, constraints

and key considerations for assessing advocacy impact

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Appendix: PRA tools for monitoring and evaluating advocacy work[154]

The following tools, from the participatory collection known as PRA (Participatory Rural Appraisal) or PLA (Participatory Learning and Action) may be useful in assessing the impact of advocacy initiatives in a participatory manner, with beneficiaries, advocacy staff or other stakeholders.

Time lines

Time lines enable advocacy teams to consider the progress of advocacy over time, which may be particularly useful given the fact that policy change often occurs over a long period. Key dates and events are noted in sequence on a sheet of paper. These events can include advocacy activities and external events that had an impact on the work. Into a second column alongside the first may be noted the outcomes or effects of the activities on the advocacy target.

Ranking

There is a range of ranking methods within the PRA collection of tools, many of which

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154 From Roche 1999

can be useful in understanding the impact of advocacy initiatives. Ranking basically involves giving an order to a list of activities. For instance, different advocacy approaches and strategies can be ranked for their effectiveness in achieving their objective, as in the following example:

Rank	Activity	Objective	Comment
1.	Radio broadcast	Raise public and media awareness on issue	Good timing of broadcast, positive impact according to broadcasters' survey
2.	Public meeting with Minister	Gain commitment from Minister to policy change	Public meeting effective mechanism for influencing Minister
3.	Newsletter	Raise public awareness on issue	Poor quality, poor distribution, therefore not widely read

A similar ranking exercise can be carried out to analyse the impact of advocacy activities. The group lists all the positive and negative impacts of the activity onto cards or pieces of paper, which are then ranked according to their importance, and discussed. This exercise can be undertaken both by advocacy teams and also by grassroots communities who are the supposed beneficiaries of advocacy, to assess the impact of the activity on their lives.

Venn diagrams

Venn diagrams are used to understand the importance of various institutions and the relationships between them. They can be drawn on paper, or – like many PRA tools – made using local materials as symbols. The exercise usually starts with the respondents drawing the key institutions on the paper as circles, varying the size of the circle to denote the institution's importance to them; and positioning the circles relative to each other on the paper to show the distance or closeness of the relationship. The diagram can be extended to cover changes over time, by adding circles in a different colour to denote the situation at a previous time, for example, 5 years ago.

'Given that advocacy is fundamentally about seeking to influence relationships of power and changing the ability of people living in poverty to influence decisions that affect their lives, tools that facilitate discussions about changes in relationships will be particularly useful. The use of Venn diagrams may be appropriate in the following situations:

- in assessing changes in the ability of groups of organisations to influence different institutions
- in assessing the changes in linkages and coalitions between those carrying out advocacy work on similar or related issues
- in mapping changing relationships between actors in the policy-making process, for example in assessing their relative influence on or proximity to decision-makers'[155]

Impact flow charts

Flow charts depict the flow or direction of a particular activity or process. They typically start with an event, action or problem, and then explore the consequences. This is usually done by asking 'what happened next?', what did this lead to?', or 'what effects did this have?'

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155 Roche 1999, p228

The results are drawn on a sheet of paper, with arrows leading from one event or action to the consequences.

Impact flow charts are useful for indicating the impact of a given intervention, policy change or event, and for documenting changes over time. They can also help in identifying the potential impact of future policy change, as well as in the analysis of past policy changes.

Trend analysis/time trend

Trend analysis or time trends depict changes over time relating to particular criteria, for example access to decision-making. Each year or alternate year over the selected period is given a score, so that trends can be analysed. An example of a trend analysis from Demon village, northern Ghana is given below[156]:

1989	1991	1993	1995	1997	Issues
10	8	6	4	1	Water
1	4	2	4	10	Health
10	4	1	1	1	Food security
10	8	1	2	8	Peace
3	4	6	6	10	Rainstorm
10	6	1	1	2	Income
10	8	1	2	5	Sheanut processing
10	5	1	5	2	Fishing
10	6	1	2	3	Livestock
2	2	1	7	10	External interventions

Key: 10 = good, 1 = poor

In assessing the impact of advocacy initiatives, trend analysis can provide a simple way of understanding relative change in people's lives over time, which can then be linked to particular policy changes. In addition, a better of understanding of relative levels of change over time should help determine whether policy changes actually make a difference to existing trends.

Further information on PRA/PLA techniques is available from the Institute of Development Studies 'Participation' website: www.ids.ac.uk/ids/particip, or from the Institute for Environment and Development (IIED), which publishes PLA Notes (formerly RRA Notes), contact: subscriptions@iied.org, or IIED, 3 Endsleigh Street, London WC1H 0DD, or see the website: www.iied.org

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156 Ibid., p146