

**Building and Enhancing  
Policy and Advocacy  
skills of Civil Society  
Organizations, Community  
Based Organizations, Clinical  
Research Centers and  
Institutions in Biomedical  
Prevention Research**

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**POLICY AND  
ADVOCACY TRAINING  
MANUAL**





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## ACONYMNS AND ABBREVIATIONS

AIDS	Acquired Immunodeficiency Syndrome
AYP	Adolescents and Young People
CASPR	Coalition to Accelerate and Support Prevention Research
CBO	Community-Based Organization
COSUP	The Committee on Substance Use and Prevention
CRC	Clinical Research Centers
CSO	Civil Society Organization
EU	European Union
FSW	Female Sex Workers
GDP	Gross Domestic Product
HIV	Human Immunodeficiency Virus
IAVI	Formerly the International AIDS Vaccine Initiative
KVP	Key and Vulnerable Populations
M&E	Monitoring and Evaluation
NGO	Non-Governmental Organization
PESTLE	Political, Economic, Social, Technology, Legal and Environment
SMART	Simple, Measurable, Achievable, Realistic and Time-Bound
SWOT	Strength, Weakness, Opportunity and Threat
UN	United Nations
UNAIDS	The Joint United Nations Programme on HIV/AIDS



# DEFINITION OF KEY TERMS

Advocacy	Advocacy is about influencing or changing relationships of power. It is to promote, represent, or defend an opinion, person(s) or interest for yourself, a community or others.
Advocacy Goal	The subject of your advocacy effort. It is what you hope to achieve over the next 10-20 years.
Advocacy Message	An advocacy message is a concise and persuasive statement about your advocacy goal that captures what you want to achieve, why, and how.
Coalition	A coalition is a group of organizations working together in a coordinated fashion toward a common goal.
Criteria	Criteria are questions or standards used to select a goal or compare different objectives.
Data and Research	Quantitative or qualitative information gathered through an objective process.
Decision-Maker	A person who has the authority to create or change communal, organizational, or governmental policies, programs, or laws.
Objective	An objective is an incremental and realistic step toward a larger goal or your vision; it is not a general goal.
Policy	A plan, course of action, or set of regulations adopted by a government, business, or an institution, designed to influence, and determine decisions or procedures.
Policy Advocacy	Policy advocacy is the deliberate process of informing and influencing decision-makers in support of evidence-based policy change and policy implementation, including resource mobilization.
Policy Issue	A problem or issue which an institution or organization could take action to solve.
Policy Mapping	A tool used to identify and learn about key audiences.
Primary Audience	The primary audience includes decision-makers with the authority to affect the outcome for your objective directly.
Role Play	An exercise where two or more individuals enact parts in an invented situation related to a training topic.
Secondary Audience	The secondary audiences are individuals and groups that can influence the decision-makers (or primary audience).
Stakeholder	Individuals or groups that have a shared interest in or concern about the outcome of an issue.
Strategy	A strategy is a set of activities directed toward the accomplishment of a concrete objective.
Target	A specific goal or group that should be reached. A target audience is a particular set of people with similar characteristics that should be reached.

# BACKGROUND AND OVERVIEW

## ABOUT THE MANUAL

As part of its mission to ensure safe, affordable, and accessible global health solutions, including vaccines, IAVI collaborates with a wide range of advocates and communities. These include Key and Vulnerable Populations (KVPs), Adolescents and Young People (AYPs), Civil Society Organizations (CSOs), Clinical Research Centers (CRCs), and policymakers. Together, we promote and advocate for policies that create an enabling environment for research and the translation of research into policies and best practices.

To sustain this capacity, IAVI, with support from the Coalition to Accelerate and Support Prevention Research (CASPR), has conducted policy and advocacy training sessions with various stakeholders. These include researchers, communities of key and vulnerable populations, clinicians, AYPs, and other research staff across several African countries. This manual is a culmination of the experiences and skills gained from these trainings, enriched by feedback from diverse groups of potential users in Africa to address their specific needs.

Developed in partnership with key stakeholders, this Policy and Advocacy Training manual is designed to ensure that essential skills are shared and transferred among diverse audiences. Our goal is to build a critical mass of advocates who can influence policies and best practices in HIV prevention research and beyond.

## INTRODUCTION AND OVERVIEW

Policy advocacy is essential for achieving public health goals by securing the resources, policies, and political support needed for global health initiatives. IAVI has developed a strategic approach to enhance the skills of those involved in policy advocacy, drawing on extensive experience from training sessions with partners across Africa. This manual aims to improve the ability of these actors to conduct effective policy and advocacy training.

Advocacy efforts have achieved significant milestones in HIV prevention research, such as introducing pre-exposure prophylaxis (PrEP) in several African countries. The recent advancements in long-acting injectable PrEP e.g. long-acting cabotegravir (CAB LA) and lenacapavir are yet another area of advocacy. These campaigns have raised awareness, secured funding, and gained policy support for broader implementation. However, gaps remain where policy advocacy has not been fully integrated, leading to insufficient funding, limited access to new prevention technologies, and inadequate policy frameworks.

This manual aims to support ongoing efforts to achieve meaningful policy changes in public health. By equipping diverse audiences—including marginalized communities, researchers, community-based organizations, and advocates—with the necessary skills and knowledge, we can collectively advance the agenda for HIV prevention research and broader health interventions. Together, we can transform the landscape of public health and prevention research through informed, strategic, and impactful policy advocacy.

## POTENTIAL USERS OF THIS MANUAL

The potential users and beneficiaries of this policy and advocacy training manual would include:

- 1. Marginalized Communities:** These groups often face significant barriers to accessing healthcare and can benefit from advocacy efforts that aim to improve their health outcomes and ensure their voices are heard in policymaking processes.
- 2. Researchers:** Individuals and institutions involved in HIV prevention research can use the manual to better understand how to advocate for necessary resources, supportive policies, and political will to advance their work.
- 3. Community-Based Organizations (CBOs):** These organizations are on the front lines of public health efforts and can use the manual to enhance their advocacy skills, enabling them to more effectively influence policy and mobilize community support.
- 4. Advocates and Activists:** Individuals and groups dedicated to promoting public health can leverage the manual to plan and execute effective advocacy campaigns, ensuring that HIV prevention and other health initiatives receive the attention and support they need.
- 5. Civil Society Organizations (CSOs):** These organizations play a crucial role in shaping public policy and can use the manual to strengthen their advocacy efforts, collaborate with other stakeholders, and drive policy changes that benefit public health.

### Benefits for Researchers and Communities in HIV Prevention Research

For researchers, this manual offers a structured approach to understanding and engaging in policy advocacy. By learning how to effectively formulate policy recommendations, communicate their findings, advocate for necessary resources and supportive policies, researchers can ensure that their work has a broader impact. This can lead to increased funding, better implementation of research findings, and more supportive policy environments that facilitate ongoing research efforts and acceptability of end products from research.

Communities working in HIV prevention research, including marginalized groups and community-based organizations, will find this manual invaluable for building their advocacy skills. It empowers them to voice their needs and influence policies that directly affect their health outcomes. By participating in advocacy, these communities can help shape best practices and ensure that HIV prevention strategies are inclusive and effective.

### Contributing to Policies and Best Practices

Knowledge and skills in policy and advocacy are crucial for influencing policies and establishing best practices. This manual provides the tools needed to plan and execute advocacy campaigns, engage stakeholders, and utilize key advocacy moments.

By equipping users with these skills, the manual helps to create a more informed and proactive community of advocates who can drive policy changes and improve public health outcomes.

The manual includes essential materials for conducting policy advocacy training, these include:

- Training objectives and outcomes.
- Sample agendas and session learning objectives for both facilitators and participants.
- Step-by-step instructions for facilitating sessions, activities, and group work.
- Case studies.
- Activity materials, including planning and evaluation tools.

## HOW TO USE THIS MANUAL

This manual is designed to be used for both structured training sessions and to enhance individual and organizational policy and advocacy efforts. Here's how it can be effectively utilized:

- **Orientation Sessions:** Selected chapters can be used for brief one or two-day sessions during meetings or short workshops to provide a general overview of policy and advocacy.
- **Institutional Use:** Organizations, networks, and associations can employ the manual to help their staff and or members to plan effective advocacy campaigns for specific topical issues of interest to them.
- **Research:** Researchers can use it to assist them in formulating policy recommendations and strategize the dissemination of their findings.
- **Training:** It can be used for a complete training workshop on policy and advocacy, or a short course using simulated policy and advocacy issues for targeted audiences.
- **Sector Adaptability:** Examples in the manual can be replaced with those from other sectors to suit different contexts, hence the manual can be used for a variety of sectors not just HIV prevention and or HIV prevention research and development for vaccines and other therapeutics.

This manual includes the following materials needed to conduct a policy advocacy training:

- Training objectives and outcomes.
- Sample agendas and session learning objectives (for both facilitator and participants).
- Step-by-step instructions to facilitate sessions, activities, and group work.
- Case studies.
- Activity materials including training planning and evaluation tools.

# METHODOLOGIES FOR DELIVERING THE MANUAL

Facilitators can deliver the trainings using this manual either in-person or virtually. The delivery of the training can be achieved using:

- **Lecture Method:** Here the facilitator will utilize PowerPoint slides and flip charts to conduct a lecture. Using prepared slides to relay the primary content helps reduce workshop preparation time, enhances message delivery for larger groups, and provides easy talking points for the facilitator. Facilitators will still use flip charts frequently to record brainstormed ideas, demonstrate examples, or work through group activities. If you are in a location with limited access to technology support, you may need to transcribe PowerPoint slides to flip charts as your primary method for presenting information. Facilitators are welcome to add, delete, or update slides as needed to make the slides more appropriate and relevant for their context.

**Where to use it:** A lecture approach is suitable for a more advanced audience who are used to similar training approaches. This method is more formal and provides the participant with a classroom feel and can be used to train participants. This method is appropriate for research centers and civil society organizations. Please evaluate the skill sets of your participants for the suitability of this method.

- **Group Discussion:** Group discussion refers to learning experiences in which participants work together on a shared task. Group work can help build a positive and engaging learning community through peer learning and teaching. Promoting peer interactions can positively affect learning experiences by helping participants to work together to solve problems.

**Where to use it:** Group discussion approach is suitable for participants who are being introduced to the concept of advocacy like community members and local organizations. This method is more informal and helps the participants to construct knowledge together, rather than passively absorbing information. Through this approach, participants learn more effectively working cooperatively in diverse groups

- **Case Studies:** This method of sharing descriptive situations with the goal to stimulate the trainees to think and make decisions to successfully accomplish their tasks, apply and develop new ideas, manage, or improve processes, and solve problems at work. This method takes on a practical approach. It is instrumental to include studies in training sessions as they are based on real-life situations and can be related to the trainees' areas of responsibilities, thus enabling them to implement the respective new concepts and best practices learned.

**Where to use it:** Utilization of case studies is suitable for any group of participants. This method offers alternative experiences, approaches, and solutions to help broaden trainees' knowledge and skills, e.g., teamwork, practical knowledge application, and problem solving. Case studies help to actively engage trainees through descriptive, real-life and/or fictional situations. Crucially, they help trainees to focus on how to solve a problem, rather than on the solution alone.

- **Role Plays:** Role play exercises give trainees the opportunity to assume the role of a person or act out a given situation. Participants are given roles to play in a conversation or other interaction. They may be given specific instructions on how to act or what to

say or required to act and react in their own way depending on the requirements of the exercise. The participants will then act out the scenario and afterwards there will be reflection and discussion about the interactions, such as alternative ways of dealing with the situation. The scenario can then be acted out again with changes based on the outcome of the reflection and discussion. These roles can be performed by individual trainees, in pairs, or in groups that can play out a more complex scenario.

- **Where to use it:** Role plays are suitable for participants who are being introduced to the concept of advocacy, such as community members and local organizations, but can also be used when training other advanced target audiences. This method is more participatory and is instrumental, especially when demonstrating issues of power in advocacy. This allows trainees to immediately apply content, as they are put in the role of a decision-maker who must decide regarding a policy, resource allocation, or some other outcome
- **Mixed Approaches:** Mixed approaches encompass the utilization of all the above methods in delivering of the training manual. This method employs a combination of theory and practical approaches in trainings and workshops and is appropriate for every target audience. Mixed approaches can be utilized in locations with access to technology through presentations and in locations without using flip charts and participatory approaches like group discussions, role plays, and case studies.
- **Where to use it:** Mixed approaches are suitable for any variety of participants from advanced audiences to beginners in advocacy. However, this method can be time consuming and can be properly executed in a 3–5-day training. This approach works best for trainees who are being introduced to the concept of policy advocacy, such as community-based organizations at the local level.

## TRAINING APPROACH

This approach is an active training and full engagement of participants is critical to its successful use. Sessions are designed to be interactive and participatory to maximize discussions and the sharing of ideas between individuals and groups. Facilitators should actively encourage this and ensure that sessions do not turn into presentations. Facilitators should be flexible and willing to adjust according to the needs, interests, priorities, or background knowledge of those attending the workshop. At the same time, it is important to keep a pace that ensures all components will be covered in the training.

## ROLES AND RESPONSIBILITIES OF FACILITATOR

The training facilitator is critical to participant learning and to the overall success of the trainings. The following includes some basic facilitation tips to keep in mind.

- Be enthusiastic! The energy level of participants will reflect your own energy level, so stay upbeat and positive. Arrive at least an hour before the starting time to organize the room and materials, and to make other final preparations.
- Make sure to introduce yourself and greet participants as they arrive.
- Learn the names of each participant and use their names frequently. This creates a collegial atmosphere and helps participants feel valued and included.
- Do not turn your back to the room, but don't stay frozen in one spot either. Moving around engages the participants, keeps their attention, and helps everyone hear you.
- Stay flexible with the agenda. It is important that participants understand the material and produce high-quality work. If you spend more time on one area, plan to make up time elsewhere so all the material will be covered.
- Debrief with the facilitation team for a short meeting at the end of each day to review the daily participant feedback and decide how to adjust the next day's content and agenda accordingly. This meeting is indispensable and crucial to successful training outcomes.

### Qualities and Skills of a Facilitator

A facilitator should be creative and dynamic, yet at the same time observant and sensitive to the needs and mood of the group. The facilitator should be patient and flexible, responsive to questions, and open to criticism. It is very important to be committed to gender inclusiveness and to respect cultural and ethnic differences. Finally, the facilitator should be consistent in his or her practices and statements.

# BASIC PRINCIPLES FOR FACILITATING POLICY ADVOCACY EVENTS

It is the responsibility of the facilitator to present each unit's background material and activities as clearly as possible. Skills used to enhance communication include the following:

## Nonverbal Communication

- Maintain eye contact with everyone in the group when speaking. Try not to favor certain participants.
- Move around the room without distracting the group. Avoid pacing or addressing the group from a place where you cannot be easily seen.
- React to what people say by nodding, smiling, or engaging in other actions that show you are listening.
- Stand in front of the group, particularly at the beginning of the session. It is important to appear relaxed and at the same time be direct and confident.

## Verbal Communication

- Ask open-ended questions that encourage responses. If a participant responds with a simple yes or no, ask "Why do you say that?"
- Ask other participants if they agree with a statement someone makes.
- Be aware of your tone of voice. Speak slowly and clearly.
- Avoid using slang or other "special" language.
- Be sure that participants talk more than you do.
- Let participants answer each other's questions. Say "Does anyone have an answer to that question?"
- Encourage participants to speak and provide them with positive reinforcement.
- Paraphrase statements in your own words. You can check your understanding of what participants are saying and reinforce statements.
- Keep the discussion moving forward and, in the direction you want. Watch for disagreements and draw conclusions.
- Reinforce statements by sharing a relevant personal experience. You might say "That reminds me of something that happened last year..."
- Summarize the discussion.
- Be sure that everyone understands the main points.

Effective facilitation includes the following:



## Setting the Learning Climate

- Read each unit and review all materials and activities before each training session so that you are fully comfortable with the content and process.
- Start on time and clearly establish yourself as the facilitator by calling the group together.
- Organize all the materials you need for the session and place them close at hand; stay within the suggested time frames.
- Gain participants' attention and interest by creating comfort between yourself and them.
- Anticipate questions.
- Prepare responses and examples to help move the discussion forward.
- Present objectives.
- Provide a link between previous units and the current one.
- Use the background notes that begin each unit to introduce the topic under consideration.
- Inform participants of what they will do during the session to achieve the unit's objectives.
- Initiate the learning experience.
- Introduce, as appropriate, an activity in which participants experience a situation relevant to the objectives of the unit.
- Let participants use experience as a basis for discussion during the next step.
- Provide teaching variety. If you begin a unit with a presentation, follow it with a more participatory activity.

## Reflecting on the Experience

- Guide discussion of the experience.
- Encourage participants to share their reactions to the experience.
- Engage participants in problem-solving discussions.
- See that participants receive feedback on their work from each other and from you.

## Discussing Lessons Learned

- Ask participants to identify key points that emerged from the experience and the discussion.
- Help participants draw general conclusions from the experience. Allow time for reflection.

## Applying Lessons Learned to Real-life Situations

- Encourage participants to discuss how the information learned in the activity will be helpful in their own work.
- Discuss problems participants might experience in applying or adapting what they have learned to their own or different situations.
- Discuss what participants might do to help overcome difficulties they encounter when applying their new learning.

## Providing Closure

- Briefly summarize the activities at the end of each unit.
- Refer to the objective(s) and discuss whether and how they were achieved.
- Discuss what else is needed for better retention or further learning in the subject area.
- Provide linkages between the unit and the rest of the workshop.
- Help participants leave with positive feelings about what they have learnt to cover all the details.

## PLANNING A POLICY AND ADVOCACY TRAINING

While we have provided adequate notes in subsequent chapters, as a facilitator and trainer you will have to ensure you have done the following:

### Before the Training

- Define the objectives of the session with leaders or representatives of the organization (or organizations) that will participate in it. This is especially important when the organization has requested that the session take place. A facilitator should be clear about how this event fits within the organization's overall structure and programmatic activities. S/he should try to ensure that it is consistent with the organization's stated mission and objectives.
- Ensure that the people with whom you are coordinating the event have the backing of the organization and its membership to avoid such problems as manipulation, poor attendance, or lack of credibility.
- Arrange for the facilitation to be done by a team of facilitators.
- Make sure that whatever technical equipment is needed for the event is available and functioning properly.
- Gauge the participants' true level of commitment to and involvement in the group's advocacy initiative.
- Obtain as much information as possible about the organization: its history, current objectives, structure, activities, and internal dynamics. Information can be gathered through interviews, informal conversations, documents, and minutes.
- Bear in mind the characteristics of the people who are going to participate: their ages, ethnicity, race, gender, knowledge, and experience related to the issue, level of formal schooling, responsibilities within the organization, and level of political awareness.
- Deal with logistical aspects of the event: the schedule, time allotted for lunch, where and how to hang up the flip charts, the size of the space, the noise and temperature levels, the availability of break-out space for small group work, and so on.
- Ensure that the specific objectives of the session contribute to the organization's overall objectives.
- Ensure the logical sequencing of the content to be presented and select training techniques that will fulfill the specific learning objectives of the event.

- Be familiar with all the materials that will be used during the session, ensuring their appropriateness for the group and issue under discussion.
- Maintain good communication and coordination within the team of facilitators, agreeing in advance on each person's role and responsibilities.

## During the Training

- Make good use of the physical space available.
- Allow participants the opportunity to express their hopes for the session so that they feel as though their opinions are considered from the beginning. Agree upon a schedule and some basic ground rules – the need to be punctual, to listen to other people's opinions, to be brief, to avoid excessive repetition, to respect others, and so forth. In other words, clarify expectations and the “rules of the game.”
- Create work groups of participants that will have specific responsibilities and tasks during the event to assist the team of facilitators.
- Before presenting content, agree on how to handle the taking of minutes. It is important to be clear about the type of minutes that are needed, who will prepare them, with what inputs, and by what date. Explain that the minutes will serve as a report to be given to the team of facilitators. They should record the interests and needs expressed by the participants, analyze any difficulties that arose, and note which techniques were most helpful and appropriate and which achieved the best results.
- Maintain fluid communication among members of the facilitation team and model a participatory and democratic work style characterized by mutual respect.
- Use a variety of presentation techniques (cards, flip chart, transparencies, the blackboard, etc.) to convey information and help participants follow a sequence of topics.
- At the end of each step in the methodology, summarize it and highlight the main points of the discussion to clearly mark the end of one step and the beginning of another.
- Make visual contact with all the people in the group of participants. Do not direct your attention at only one person or one subgroup of people. When participants speak, they should speak to the entire group and not just to the facilitator.
- Be creative and use appropriate new techniques to communicate with the participants. Know when to switch to a different technique (for example, after a long plenary, a serious discussion, a sad or emotional moment, or a break or meal). Varying the techniques helps keep participants energized and alert. Do not, however, go overboard and allow the techniques to distract from the content being presented or to curtail debate among the group participants on contentious issues.
- Recognize and deal with the conflicts and disagreements that arise during the session. It is counterproductive to continue to present content when it is obvious that conflict is brewing or that feelings are not being expressed.

- Address comments or statements made by any participant that are racist, sexist, homophobic, or otherwise offensive, by questioning underlying behaviors or attitudes instead of attacking the person. The facilitator should make every effort to create a safe and congenial environment in which all participants feel respected.
- Maintain a high level of motivation within the group throughout the session. It is important to create a positive and friendly environment by using techniques that allow the participants to get acquainted with one another.
- Do not be afraid to make mistakes! Group facilitation is not an exact science, but rather a trial-and-error exercise. Popular educators often say that “a person who never makes mistakes is someone who is not practicing.”

## OUTLINE OF THE TRAINING

This policy and advocacy training manual has 10 modules as described in the following:

**Module 1: Introduction to Policy Advocacy:** Provides an introduction to policy and advocacy including steps in conducting policy advocacy, basic elements of policy advocacy, importance of engaging in policy advocacy, and actors involved in policy advocacy. This module will help the participants conceptualize the concept of policy advocacy in relation to the work they do.

**Module 2: Assessing the Policy Environment:** Provides in-depth knowledge on how to assess the policy environment including how to conduct policy analysis, understanding the steps in the policy formulation and implementation cycle, and understanding power relations in policy advocacy. This module will help the participants review a selection of national policies and identify policy commitments related to their scope of work that are not effectively being implemented.

**Module 3: Policy Advocacy Planning and Cycle:** Provides participants with an understanding of the advocacy process and covers an overview of the steps in planning a policy advocacy campaign, how to identify a policy advocacy issue, and how to develop advocacy goals and objectives. Participants will then develop advocacy goals and objectives based directly on their previous policy analysis.

**Module 4: Policy Advocacy Targets and Audiences:** Focuses on how to analyze and identify appropriate target audiences for the policy advocacy issue identified. The participants will conduct a comprehensive stakeholder analysis to identify who they should target with their policy advocacy issue and what will be their contributions.

**Module 5: Strategic Communication for Policy Advocacy:** Facilitates the participants on development and reviewing effective advocacy messages and guides them in developing policy advocacy messages specifically for their target audiences. Participants will also be able to identify the appropriate messengers to communicate their policy advocacy messages and the relevant messaging channels to be utilized.

**Module 6: Partnership Building for Policy Advocacy:** Focuses on the importance of building coalitions and the role of partnerships in policy advocacy. Participants will be able to map and identify potential partners, coalitions, and networks that will support their policy advocacy agenda and design strategies of engaging them.

**Module 7: Resource Mobilization for Policy Advocacy:** Provides information on how to map the necessary resources needed to implement your policy advocacy campaign. Participants will understand the different strategies they can employ to fundraise and mobilize resources for their policy advocacy.

**Module 8: Risk Analysis and Mitigation for Policy Advocacy:** Focuses on supporting participants to map potential risks that might affect their policy advocacy work and design appropriate mitigation measures. Participants will be able to develop a risk and mitigation framework for their policy advocacy agenda.

**Module 9: Developing a Policy Advocacy Action Plan:** Provides information on understanding the policy advocacy strategy development process and components of a policy advocacy action plan. Participants will be able to develop a policy advocacy action plan at the end of this module.

**Module 10: Monitoring and Evaluation in Policy Advocacy:** Focuses on reviewing the steps in planning a policy advocacy campaign and guides participants in developing implementation and monitoring and evaluation (M&E) plans for their policy advocacy campaigns. Participants will develop an M&E plan with clear indicators that will help track of the expected goals, objectives, and outcomes of their policy advocacy campaign.

Each module of the training guide is organized as follows:

**Session Overview:** Includes suggested time for each topic, learning objectives for the session, and the materials needed.

**Activity instructions:** The actual steps to take with the participants. Trainers are encouraged to adapt the activities as needed to accommodate training participants' needs and to reflect the trainers' own experience and expertise. Estimated times are provided for each activity, but changes to the times may be necessary depending on the background and skills of the training participants.

## TRAINING AGENDAS

This manual is devised to be adapted by each facilitator to meet the needs of various participants (e.g. Clinical Research Centers (CRCs), Civil Society Organizations (CSOs), Community Based Organizations (CBOs), and community agents). The following agendas are suggested:

**Three-day Agenda for CSOs:** Three days (not necessarily successive) are required to effectively introduce CSOs to policy advocacy and to conduct all sessions in this manual. The first day focuses on introduction of policy advocacy, understanding the policy advocacy cycle, how policy works, and tools for advocacy issue identification. The second focuses on identification and analysis of policy advocacy issues identified, framing of goals, objectives, and identification of target audiences. The third focuses on monitoring, evaluation, and policy action plan development.

**Two-day Agenda for CRCs:** A two-day version of the agenda for introducing policy advocacy is provided as an option for clinical research centers that have limited time available. Day one focuses on introduction to policy advocacy, understanding the policy advocacy cycle, identification of policy advocacy issues, and framing of goals and objectives. The second focuses on identifying target audiences, partnership and coalition building, resource mobilization for policy advocacy, and development of a policy advocacy action plan.





**Five-day Agenda for CBOs:** A five-day agenda is appropriate for CBOs and community agents who are being introduced to the concept of policy advocacy. Day one covers introduction to policy advocacy, advocacy steps, and importance of engaging in policy advocacy. Day two focuses on assessing the policy environment including understanding the policy formulation processes, conducting policy analysis, and understanding the policy advocacy and implementation cycle. Day three focuses on identification of policy advocacy issues, framing of goals and objectives, and identification of policy advocacy targets and audiences. Day four focuses on development of advocacy messages, identifying advocacy messengers and advocacy messaging channels, and resource mobilization for policy advocacy. Day five covers risk analysis, development of a policy advocacy action plan, and monitoring and evaluating your policy advocacy agenda.

Samples of the above training agendas are attached at **Annex 2** of this policy advocacy training manual.

# PRELIMINARY: INTRODUCTION & AGENDA SETTING

## SESSION ONE

### INTRODUCTION AND AGENDA SETTING

	<b>Session Objective</b> To help the training participants get to know each other and learn their expectations
	<b>Outcome</b> Participants know each other and share their learning expectations
	<b>Materials Needed</b> Flip Charts, Marker Pens, Sticky Notes, Pens and Note Pads
	<b>Time/Duration</b> 1 Hour

#### Activity One: Training Opening and Introductions (20 minutes)

Start with an icebreaker that provides an opportunity for participants to introduce themselves to each other and sets a friendly, relaxed tone for the training. Use an icebreaker you like, or give the following instructions to participants:

- Ask participants to pair up for the introduction. There are many ways to divide participants into pairs, but one simple way is to count the number of participants and divide the total number by two. Then ask the group to count off from one to that number (i.e. if there are a total of 14 participants, ask participants to count from one to seven and then from one to seven again). Then ask people to pair up with whomever has the same number as they have (the two 1s will be partners, as will the two 2s, the two 3s, etc.) If there is an odd number of participants, the facilitator can be someone's partner.
- Ask each pair to sit together and record the following four things about his or her partner: name and organization, one thing he or she likes most, one thing he or she hates most. (5 minutes)
- Ask everyone to rejoin the main group and have each of the participants introduce his or her partner to the group and share what he or she learned about his or her partner. (10 minutes)

### Activity Two: Training Objectives (20 minutes)

After everyone has been introduced, present the objectives for the training using a flip chart on the wall. The purpose of this training is to increase understanding and skills among participants to plan, facilitate, and implement advocacy strategies to bring about change. Explain that during the training, participants will:

- Learn how policy advocacy can be used to convince decision-makers to take concrete steps to accelerate biomedical HIV prevention research.
- Build their knowledge and skills related to key steps in the policy advocacy planning process (e.g. setting advocacy goals and objectives; defining target audiences, identifying strategic advocacy activities and materials; and developing implementation and monitoring and evaluation plans for an advocacy campaign).
- Work in groups to identify an advocacy issue that they want to focus on and develop a policy advocacy strategy.

### Activity Three: Setting Ground Rules (10 minutes)

- Explain to the group that a supportive, friendly, and participatory environment will enhance the training discussions, and ensure that the training provides an opportunity for everyone to build their knowledge and skills and identify new strategies that they can undertake in their work.
- Ask the group to brainstorm ground rules that should be respected throughout the training (e.g. rules such as punctuality, respect of other's ideas and points of view, politeness, equal participation, etc.).
- As ground rules are suggested, confirm that everyone agrees with them and record on flip chart. Post this flip chart in a place where it can be seen and referred to throughout the duration of the training, as a constant reminder.
- Ask everyone to ensure that they respect these ground rules throughout the training and ask for two volunteer "whistleblowers" to alert the group if ground rules are not being respected.

## SESSION TWO

### PRE-TEST EVALUATION

Explain to the participants that the objective of the pre-training evaluation is not a formal assessment of the participants; rather, it is meant to understand the current level of knowledge of the participants and reassess the same at the end of the training. This will provide feedback on the possible change because of the training program.

- Distribute the pre-training questionnaire and ask participants to complete and return it. The questionnaire is anonymous and does not require the respondent's name or any other identifying information.
- Collect the completed questionnaires and thank the participants. (15 minutes).
- The pre-test evaluation is attached at the Annex section of this manual.






MODULE

1

**INTRODUCTION  
TO POLICY  
ADVOCACY**

## SESSION ONE

# UNDERSTANDING POLICY AND ADVOCACY

	<b>Session Objective</b> To ensure participants understand the concept of policy and advocacy.
	<b>Materials Needed</b> Flip Charts, Marker Pens, Sticky Notes, Pens, and Note Pads
	<b>Time/Duration</b> 1 Hour

### Activity Five: Group Work on Definition of Policy and Advocacy (30 minutes)

- Review the training objectives for this module with participants using the flip chart on the wall.
- Tell the group that they are going to discuss what they think “policy” and “advocacy” means. Ask participants to share words that they associate with policy and advocacy.
- Record their comments on a flip chart. Add a tick mark next to the phrases that are repeated. Examples are listed in the following box.

**Words Associated with Policy and Advocacy:** Plans, Blueprint, Strategy, Guidelines, Defending, Decision-making, Providing a solution, Sensitizing, Communication, Exposure, Change, Attracting attention, Building support, Lobbying, Persuasion, Selling an idea, Influence, Informing, Interviewing

- Once the group has generated a list of words associated with advocacy, share with them the definition of policy and advocacy. Ask for volunteers to read aloud the different activities that constitute policy and advocacy.

### Activity Six: Defining Policy and Advocacy (30 minutes)

#### What is Policy?

Policy is a deliberate system of guidelines to guide decisions and achieve rational outcomes. A policy is a statement of intent and is implemented as a procedure or protocol. Policies are generally adopted by a governance body within an organization.

#### What is Advocacy?

Advocacy is defined as any action that speaks in favor of, recommends, argues for a cause, supports, or defends, or pleads on behalf of others. Advocacy includes getting support from another person to help you express your views and wishes, and help you stand up for your rights. Someone who helps you in this way is called your advocate.

## What is Policy Advocacy?

This is the process of negotiating and mediating dialogue through which influential networks, opinion leaders, and ultimately decision-makers take ownership of your ideas, evidence, and proposals and act upon them. It involves a strategy to affect policy change or action, the main audience of decision-makers, persuasive communication, mobilization for support (momentum building), and push by groups of organized citizens. Policy advocacy is the deliberate process of informing and influencing decision-makers in support of evidence-based policy change and policy implementation, including resource mobilization.

- Once you have reviewed the definitions of “policy” and “advocacy,” ask participants to identify the terms that appear on the initial brainstorm list with these definitions.
- Use a different colored marker to circle words or concepts participants came up with on their own.
- Ask the group: What are the key differences and similarities among all the definitions?
- Ask participants to volunteer and share personal accounts or stories that illustrate how they have engaged in policy advocacy in their communities. Ask the volunteers to describe the problem they wanted to address, the objectives of their efforts, some of the activities that were implemented, and the outcome.




## Actors Involved in Policy Advocacy

Policy Advocacy requires and engagement with diverse group of individuals and institutions who are key to the development of policies in a multi-layered in its approach. Examples include:

- a) Government (including Ministry of Health),
  - b) Civil society (e.g. CBOs),
  - c) Media (traditional media – print, radio, television; and non-traditional – internet, social media), and,
  - d) Affected communities.
- **Media** – Consists of both traditional (print, TV, radio) and non-traditional media (internet based and social media). These media form mediums for communication and are used to communicate to society at large. Which medium/tool to use will depend on the intended audience. With the growth of technology (smart phones, faster internet speeds 4G and 5G) it may be easier and cheaper to use these platforms for certain audiences and or messages. *Note: the media does more than just convey messages, they also “prime” and “shape” policy directions.*
  - **Government** – Government is not uniform or static; it is fluid and has many sides. Certain government departments/agencies may be hostile while others are supportive to engage CSOs and gay, bisexual, and other men-who-have-sex-with-men in particular. Equally different government departments may be favorable to engaging CSOs at different time points. It is important to know how government operates and who to engage concerning a public policy issue. Some officials in government are open to external pressure while others resist it. *The goal is to cultivate a relationship that allows for us to engage with government in this fluid environment.*

- **Community** – The main aim for policy advocacy is to expand human rights and/or bring about social justice for marginalized groups. It is critical for CSOs to identify who is likely to be left out/affected by a particular policy proposal; this can be at national, regional, or even at grassroots level. *It is important that the community is consulted throughout the policy advocacy process so that their views, experiences, and desired outcomes are captured.*
- **Civil Society** – These players are distinct from the government and the private sector and work with institutions and governments to bring about social change as part of their advocacy strategy. CSOs include: *CBOs, non-governmental organizations (NGOs), non-profit organizations, and other civil society groups founded and operating outside government. CSOs are usually seen as “the voice of the people” and act in the interest of marginalized individuals or groups. CSOs through their efforts can:*
  - Lobby (attempt to influence) government to adopt or amend laws and policies.
  - Provide input on laws and policies through research and data collected through service provision, consultation with communities, and other means.
  - Hold governments accountable for failing to comply with their legal duties.
  - Assist government to implement laws and policies.
  - Present the needs and concerns of marginalized groups of people to government and broader society.

## BASIC ELEMENTS OF POLICY ADVOCACY

	<b>Session Objective</b> To ensure participants understand the concept of policy and advocacy.
	<b>Materials Needed</b> Flip Charts, Marker Pens, Sticky Notes, Pens and Note Pads
	<b>Time/Duration</b> 45 minutes

### Activity Seven: Understanding Basic Elements of Policy Advocacy (15 minutes)

While specific advocacy techniques and strategies vary, the following elements form the basic building blocks for effective advocacy. Like building blocks, it is not necessary to use every single element to create a policy and advocacy strategy. In addition, these elements need not be used in the order presented. You can choose and combine the elements that are most useful to you. The following are the basic elements of policy advocacy.

- **Selecting an Advocacy Objective:** Problems can be extremely complex. For an advocacy effort to succeed, the goal must be narrowed down to an advocacy objective based on answers to questions such as: Can the issue bring diverse groups together into a powerful coalition? Is the objective achievable? Will the objective really address the problem?
- **Using Data and Research for Advocacy:** Data and research are essential for making informed decisions when choosing a problem to work on, identifying solutions to the problem, and setting realistic goals. In addition, good data itself can be the most persuasive argument. Given the data, can you realistically reach the goal? What data can be used to best support your arguments?
- **Identifying Advocacy Audiences:** Once the issue and goals are selected, advocacy efforts must be directed to the people with decision-making power and, ideally, to the people who influence the decision-makers such as staff, advisors, influential elders, the media, and the public. What are the names of the decision-makers who can make your goal a reality? Who and what influences these decision-makers?
- **Developing and Delivering Advocacy Messages:** Different audiences respond to different messages. For example, a politician may become motivated when she knows how many people in her district care about the problem. A Minister of Health or Education may act when presented with detailed data on the prevalence of the problem. What message will get the selected audience to act on your behalf?
- **Building Coalitions:** Often, the power of advocacy is found in the numbers of people who support your goal. Especially where democracy and advocacy are new phenomena, involving large numbers of people representing diverse interests can provide safety

for advocacy as well as build political support. Even within an organization, internal coalition building, such as involving people from different departments in developing a new program, can help build consensus for action. Who else can you invite to join your cause? Who else could be an ally?

- **Making Persuasive Presentations:** Opportunities to influence key audiences are often limited. A politician may grant you one meeting to discuss your issue, or a minister may have only five minutes at a conference to speak with you. Careful and thorough preparation of convincing arguments and presentation style can turn these brief opportunities into successful advocacy. If you have one chance to reach the decision-maker, what do you want to say and how will you say it?
- **Fundraising for Policy Advocacy:** Most activities, including advocacy, require resources. Sustaining an effective advocacy effort over the long-term means investing time and energy in raising funds or other resources to support your work. How can you gather the needed resources to carry out your advocacy efforts?
- **Evaluating Policy Advocacy Efforts:** How do you know if you have succeeded in reaching your advocacy objective? How can your advocacy strategies be improved? Being an effective advocate requires continuous feedback and evaluations of your efforts.

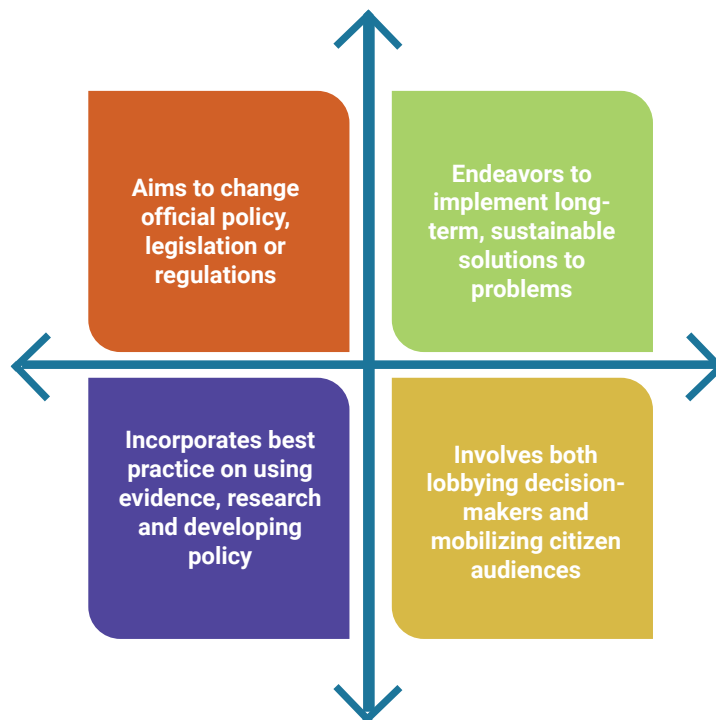


Figure 1: Policy Advocacy Summary Illustration Source: (O'Connell, 2024)

## Activity Eight: Group Work on Basic Elements of Policy Advocacy (30 minutes)

Pair participants in groups and task them to share their experiences on the above presentation. Ask them to brainstorm and present findings on the following queries:

- How could these elements strengthen your current work?
- Do you feel that any of these elements might be difficult to use in your context?
- Which ones and why?

## 7 Steps to Effective Policy Advocacy

Although these steps are presented sequentially, in most cases, some of these processes occur simultaneously. In addition, organizations may need to revisit steps, while others are ongoing in nature. Therefore, this step-by-step guide is an outline that may be consulted when conducting or planning policy advocacy strategies. Also keep in mind that continual work should take place to monitor the implementation of laws and policies.

- 1 Problem identification:** Identify the problem or issue at hand. Then as advocates: conduct formative research, understand the accountability landscape, conduct community consultations, and strategize.
- 2 Organizational Priorities, Resources and Risks:** Assess the financial, human resource and risk factor for your organization in engaging in policy advocacy.
- 3 Engage the Community:** Mobilization of the community, conducting training sessions: rights literacy, awareness-raising campaigns, and mobilizing the community for direct action activities (picketing, protests, marches as may be necessary).
- 4 Engage Civil Society:** Build networks and alliances with relevant CSOs. Identify partners who have interest and can contribute expertise and resources.
- 5 Engage Government:** The government is to be engaged through various sectors (public servants, policymakers, elected officials, legislators, and ministers). As an organization you MUST build relationships with key government personnel. Engage these officials by making key recommendations (submissions) to parliament/state/departments tasked with conducting research on a particular issue/law/policy/amendment. Always participate as far as the public is allowed and know who an ally or an opponent is.
- 6 Engage Media:** Media can be used as a resource to advance policy advocacy, gain community support, and influence policymakers. As an organization you need to identify which media source to approach to deliver key messages to the public. Examples: writing articles, press releases for print media, organizational opinion pieces on social media, or using radio and television for interviews and debates. These can facilitate public dialogue on the issue. Where possible involve community members.
- 7 Measure the effects (monitor, evaluate, and hold accountable):** At every stage of the policy process there is a need to be aware of the impact of your activities on the grassroots people as well as at the highest level of government. This will help you to identify areas of targeted efforts, new strategies, or those who need to be held accountable



Figure 2: Policy Advocacy Steps  
Source: Christian et. al, (2019)

## CASE STORY

### SONKE GENDER JUSTICE NETWORK AND THE TRADITIONAL COURTS BILL 2012

*This case study demonstrates how Sonke has carried out an effective policy advocacy campaign through the use of the guide '7 Steps to effective policy advocacy.'*

*The Traditional Courts Bill of 2012 is a highly controversial piece of legislation that was proposed by the South African government in January 2012. If enacted, it will have dire consequences for approximately 17 million people currently living in rural areas across South Africa. In essence, this bill centralizes power in the hands of traditional leaders (chiefs and headmen) who are said to govern on a 'customary' basis. Through this bill, people in rural areas would be relegated to second-class citizens, governed primarily by traditional leaders as opposed to democratically elected state officials. It has been reported that many traditional leaders are corrupt political leaders, often acting in their own interests as opposed to the interests of their constituents*



## Step 1: Identifying the Problem

Of particular concern for Sonke Gender Justice Network is the negative impact that this bill would have in gender equality. Women in rural areas would be subject to the rule of traditional leaders whose traditional councils are almost always comprised of men acting in the interests of men. If problems arise, women are not allowed to represent themselves in traditional courts. Instead, other men such as fathers, brothers, and husbands must bring cases on their behalf. Furthermore, they are not allowed legal representation by lawyers or the right to have decisions appealed or reviewed. Thus, the Traditional Courts Bill positions women as 'children' and curtails their constitutionally protected right to equality and non-discrimination, as well as a range of other fair trial rights provided under the Constitution, which is supreme law in South Africa .

Along with several other human and women's rights civil society organizations, Sonke identified that this bill is anti-democratic in its entirety, and repugnant to the rights of women in South Africa, reversing the decades of activism that has been undertaken in gender equality. Therefore, Sonke added its voice to those calling for the bill to be withdrawn in its entirety, particularly because of the effects it would have on women in the full realization of their democratic rights.

## Step 2: Assessing Organization Priorities, Resources, and Risks

Sonke identified that this bill is anti-democratic, and that if passed, would affect the work that the Network is trying to do in areas of gender justice in South Africa. Sonke identified that it had the necessary financial and human resources to carry out effective policy advocacy and that there were no immediate risks for working in this area. As stated, the people most affected by this bill would be those persons living in rural areas across South Africa. Therefore, effective policy advocacy would need to engage with rural citizens in two ways, as outlined in Step 3.

## Step 3: Engaging the Community

- *By educating the affected communities on the provisions contained in the bill. Even though the government of South Africa was supposed to have public hearings so that communities could suggest amendments where necessary, it had failed to reach rural communities, especially those in the most isolated parts of the country. Public hearings were hastily and ineffectively carried out, thereby leaving key voices out of the debate on the enactment of the Bill.bill.*
- *By conducting formative research to ascertain the lived experiences of people living under the jurisdiction of traditional leaders. These narratives were used as evidence for articles and at parliamentary hearings.*

## Step 4: Engaging Civil Society

Given the enormous impact that the Traditional Courts Bill would have across rural South Africa if passed into law, civil society has come together as a united force calling for the immediate withdrawal of the Bill. Several bill. A number of organizations decided to form the Alliance for Rural Democracy, which Sonke was invited to be a part of in 2012. The Alliance is made up of many civil society organizations including the Legal Resource Centre; the

Law, Race and Gender Unit; Women's Legal Centre; and Section 27, to name a few. These organizations are unanimous in the view that the bill is anti-democratic and detrimental to the constitutional protections that every South African should enjoy. They have clearly defined roles and responsibilities, with activist Nomboniso Gaza and Sonke's Desmond Lesejane acting as the main coordinators of the Alliance.

### **Step 5: Engaging the Government**

The nature of the bill requires that civil society organizations engage with various facets of government, from parliamentarians to various ministries that support and/or will be affected by its passage. As the bill will adversely affect the rights of women, Sonke made use of its relationship with South Africa's Minister of Women, Children and People with Disabilities, Ms. Lulama Xingwana. This relationship was forged at the United Nations Commission on the Status of Women, which took place in New York in February 2012. Sonke alerted the Minister to the negative impact that the bill would have on women's rights and the need for her to assist in the stoppage of this bill. The Minister has been unequivocal in lending her support to the Alliance for Rural Democracy's mission to have the bill withdrawn.

### **Step 6: Engaging the Media**




The media has been a powerful tool for disseminating information to people across the country. As a collective, the Alliance for Rural Democracy has used various aspects of the media to educate the people of South Africa on the existence of the bill and its potential impact should it be passed. Specifically, the Alliance has used local and national radio stations to generate debate and as a platform to communicate the rights of rural citizens. Various members of the Alliance have written insightful articles in national and local newspapers, like the *Mail*, the *Guardian* and the *Star*. As an advocacy network, the Alliance has issued well over a dozen press releases and other media articles, which have ensured that society at large remains informed on the development of the bill.

### **Step 7: Measuring Effects (monitor, evaluate, hold accountable)**

At the time of going to print, there was a host of evidence to suggest that the Alliance for Rural Democracy has been effective in its campaign to have the bill stopped in its entirety. Due to the media and rights literacy campaigns, people in rural areas have been able to make their own submissions to parliament in protest against the passage of this bill. The articles, press releases, and other media products have resulted in more and more civil society organizations and independent activists lending their voice to the call for the removal of this bill. At this stage, civil society is awaiting the decision of parliament .” (Sonke Gender Justice , 2013)

## SESSION THREE

# IMPORTANCE OF ENGAGING IN POLICY ADVOCACY

	<b>Session Objective</b> To help the training participants understand the importance of engaging in policy advocacy work and how to use it as a tool to promote positive change
	<b>Materials Needed</b> Flip Charts, Marker Pens, Sticky Notes, Pens and Note Pads
	<b>Time/Duration</b> 1 hour 45 minutes

### Activity Nine: Understanding Policy Advocacy as a Tool (15 minutes)

- **Policy Advocacy as a Tool for Citizen Participation:** Policy advocacy is a tool for real participation by citizens in decision-making by government and other powerful bodies. It is one of the ways – together with elections, open forums, special commissions, and so on – that different sectors of CSOs can put forward their agendas and have an impact on public policies, participating in a democratic and systematic way in decision-making about matters that affect their lives.
- **Policy Advocacy as the Exercise of Power:** To the extent that the citizenry can influence decisions made by entities of the state, it is exercising its own power as civil society. Policy advocacy can be seen as the exercise of power by the citizenry in the face of the government's power. Effective policy advocacy requires using different approaches to tap into various sources of power. This increases the probability that a government will be responsive to its citizens. Some approaches contribute to the accumulation and consolidation of social power, while others contribute to the strengthening of technical capacities.
- **Advocacy as a Cumulative Process:** Policy advocacy consists of more than one strategy or activity. It entails the implementation of various strategies and activities over time, with creativity and persistence. Policy advocacy victories often are preceded by numerous failures. It is important not to give up, but to learn from our mistakes and to continually strengthen an organization in terms of its social power and technical capacity. Policy advocacy combines various complementary initiatives in order to achieve an objective. Through a series of small wins on specific issues that may appear not to be of great consequence, an organization or coalition gradually builds the social power and technical capacity needed to do advocacy on more complex issues.

### Activity Ten: Group Work/Brainstorming Sessions (15 Minutes)

- Task the participants to divide into groups.
- Write “Why do we engage in Advocacy?” on a flip chart.
- Ask the participants in groups to share their answers.
- Write all responses on the flip chart without discussion.

### Activity Eleven: Why Engage in Policy Advocacy? (15 Minutes)

There are many reasons to engage in advocacy. The most important from a civil society perspective are:

- **Solve specific problems:** Most CSOs that are committed to justice, democratization, and sustainable development aspire to change one or more aspects of the social, economic, political, and cultural realities in which they operate. Policy advocacy focuses on solving specific problems within this complex environment. Citizen advocates develop plans and implement strategies and activities aimed at achieving concrete solutions to these problems, most often through specific changes in public policies and programs. It is important to involve, from the beginning, the people who are affected by the problem that you wish to solve. This helps ensure that the group’s proposal reflects the priorities of this population and is geared toward achieving real change in their daily lives.
- **Strengthen and empower civil society:** Policy advocacy, to the extent that it promotes social organization, alliance building, leadership formation, and networking at the national and international levels, stimulates the strengthening and empowerment of civil society. The planning and implementation of advocacy initiatives not only helps to solve immediate problems, but also, over time, contributes to strengthening the organizations or coalitions that engage in advocacy. This in turn prepares them for future efforts that can have an even greater impact on public policies.
- **Promote and consolidate democracy:** Policy advocacy implies a permanent relationship between civil society and the state. It is an important gauge of a genuine democracy. Engaging in advocacy is one way to strengthen citizen participation in decision-making about public policies and programs and to promote a transparent political culture. As civil society becomes more successful in its advocacy efforts, power relationships between state institutions and the citizenry will be transformed and become more democratic.

### Activity Twelve: Levels of Engaging in Policy Advocacy (15 Minutes)

It is important that the participants understand the necessity to link the different levels of policy advocacy. At the end of the training, the participants should be able to develop an advocacy strategy by linking local, national, and regional/international levels so as to have a structural impact.

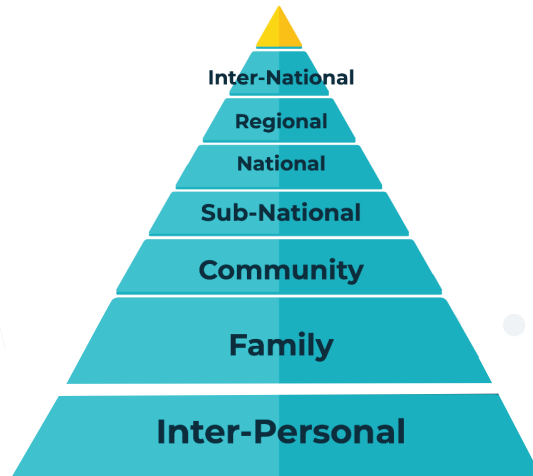


Figure 3: Levels of Engaging in Policy Advocacy

## CASE STORY

# THE ADVOCACY PROCESS: JAKARTA AND BALI IN INDONESIA

In Indonesia, evidence began to emerge in the late 1990s that injecting drug use was increasing rapidly and that HIV was spreading among injection drug users (IDUs). Activities by the Government of Indonesia and NGOs appeared to have little chance of preventing a massive epidemic of HIV among IDUs, because neither was familiar with HIV/AIDS prevention among IDUs. Further, those working on HIV/AIDS expressed their concern that the Indonesian community and government officials would oppose some specific approaches such as needle and syringe programmes or substitution treatment, because of legal reasons and lack of awareness of the effectiveness of such methods.

In 1999, a coalition of NGOs and donors decided to form an advocacy group to lobby for acceptance of these approaches in Indonesia. In early 2000, the group supported a training course on rapid assessment and response methods, which led to assessments of injecting drug use and of the dissemination of HIV infection in eight cities. The assessments were used to provide information for further advocacy work as well as data to help in planning interventions. Initial results from these rapid assessments were presented to key government officials and NGOs in each province assessed. Final results were presented at provincial and national seminars, leading to increased interest in issues related to HIV/AIDS among IDUs.

Specific advocacy groups were formed in Jakarta (national) and Denpasar (for Bali Province), and these teams identified potential allies and opponents of advocacy with regard to new approaches and developed objectives for their work. The core teams used the rapid assessment results to persuade influential individuals and groups that HIV/AIDS among IDUs was a serious and growing problem in their area and in Indonesia as a whole and to encourage the implementation of preventive activities. Other studies backed these results by showing worrying trends in HIV transmission among IDUs and prisoners, which received wide mass-media coverage. Workshops were organized to concentrate political and community

attention on the issue. Key politicians were contacted many times to build support for changes in government policy and the introduction or expansion of pilot outreach, methadone and needle and syringe programmes.

In 2001, a study tour to Sydney, Australia was organized for senior government and NGO officials to visit a wide range of programmes related to drugs and HIV/AIDS and to consult with senior police, politicians, a High Court judge and representatives of the Department of Health in that country. During this study tour, the participants decided to form a Harm Reduction Steering Committee for Indonesia (mostly comprising government representatives) and the Indonesian Harm Reduction Network (chaired by an NGO in Bali).

By mid-2002, several further advocacy activities for HIV/AIDS prevention were underway in Indonesia.

- The Harm Reduction Steering Committee members met regularly and assisted in building relationships between health sector staff and police and other important community members.
- The Indonesian Harm Reduction Network received funding to begin capacity building and networking activities.
- Six programmes (in four cities) were started to provide, through outreach, HIV/ AIDS prevention, education and information materials to IDUs.
- Pilot programmes for needle and syringe provision were prepared for three sites in Jakarta and for both Denpasar and the rest of the island in Bali. The Indonesian government agreed to consider such programmes an integral part of its national HIV and drugs policy, subject to the successful evaluation of the pilot programmes.
- Two pilot methadone programmes, also approved by national and provincial governments, were planned.
- A larger advocacy campaign for HIV/AIDS prevention among IDUs began through national meetings aimed at specific target audiences such as police, criminal justice staff (including judges, lawyers and prison officials), religious leaders and the mass media.

At the end of this process, several prevention programmes using new approaches had been initiated, although a degree of scepticism remained among staff of certain sectors of the government.

## CASE STORY

# USING ADVOCACY TO STOP VIOLENCE AGAINST WOMEN IN SENEGAL

In April 1996, several women associations in Senegal were startled by the story of “D”, a woman who was severely beaten by her husband, a high-ranking officer in the army. According to the medical reports, D suffered from bruises and torn skin on parts of her body; she risked losing an eye and her hearing. D’s story was that while married to this man for nearly 20 years she had been constantly beaten and humiliated. Sometimes at night her husband would tie her in the goat pen. He forbade her from going to her grandmother’s and her father’s funeral.

Even before hearing D’s story, women’s associations in Senegal were alarmed by the renewed outbreak of violence against women in their country. Every week news stories were published about women and girls who were raped, beaten, or killed. Angered by D’s case and determined to stop violence against women, several Senegalese women’s associations mobilized and formed a committee in D’s defense. First, they began a national and international awareness campaign. They drafted a letter presenting D’s case and sent it to local and international women’s groups. In the letter they included the fax and telephone numbers of the President of Senegal, the Ministry for Women, and the Justice Ministry asking that these authorities punish D’s husband and uphold Senegal’s international obligations to respect women’s rights. Many national and international associations sent letters and faxes.

The committee also:

- Organized marches, sit-ins, and demonstrations in Dakar, the capital, and in the surrounding region.
- Mobilized the press on the subject.
- Reached out to Muslim and Christian religious leaders.
- Raised funds for advocacy through contributions from members and other sympathizers.
- Formed a special research committee to conduct research on violence against women.
- Contacted lawyers, including high ranking officials in the lawyer’s association.

Their advocacy made an immediate impact. D’s husband, the high-ranking officer, was arrested, charged, and sentenced to prison. D’s defense committee organized a forum on violence against women in the city where D and her husband lived. The regional governor, the religious authorities, and representatives from the Ministry of Women all participated in the forum. D’s defense committee was transformed into a permanent committee on violence against women and continues to work toward the following objectives:

- Women’s associations should be able to represent victims of violence legally.
- When faced with an obvious offence of violence against women, authorities should be diligent in punishing the offenders.




- If the offender is a woman's spouse or parent, he should be punished according to the law.
- Every neighborhood should establish a place to welcome and listen to women who have suffered from domestic violence.
- Police, medical, and legal personnel should be trained to listen to and help female victims of violence.

### **Sharing Experiences Session (45 minutes)**

- What approaches did advocates in Indonesia use to bring actors together to support their issue?
- What changes were realized as a result of the advocacy conducted in Jakarta and Bali?
- Which of the basic elements of advocacy did women advocates in Senegal use?
- Why do you think they were successful in defending D and raising awareness about violence against women in Senegal?



## TYPES OF POLICY ADVOCACY

	<p><b>Session Objective</b></p> <p>To help the training participants conceptualize the different types of policy advocacy.</p>
	<p><b>Materials Needed</b></p> <p>Flip Charts, Marker Pens, Sticky Notes, Pens and Note Pads</p>
	<p><b>Time/Duration</b></p> <p>40 minutes</p>

### Activity Thirteen: Types of Policy Advocacy (20 minutes)

There are different advocacy activities that can be used when influencing public policy. Combinations of each can be used concurrently to communicate the message across.

- Grassroots Mobilization:** Grassroots advocacy is a bottom-up approach to public policy advocacy where ordinary citizens unite to make their voices heard by elected officials and other decision-makers. Grassroots campaigns can take many forms, including simple actions like writing a letter to Parliament or signing a petition. Grassroots activities can be more advanced, like organizing or participating in a protest.
- Lobbying:** Although it takes many forms, lobbying, in general, involves communicating directly with members of Parliament or other government officials to influence policy decisions. Lobbying tactics can include in-person meetings, phone calls, and written communications. Successful lobbyists know who to talk to, how to get meetings with them, and what messages will resonate with them.
- Media Campaigns:** Media campaigns can include social media advocacy, digital advertising, and traditional media outreach and are used to raise awareness about specific issues and to create a sense of urgency around policy changes. Traditional media outlets, like newspapers, are great targets for media campaigns. The most common tactic includes writing Opinion Pieces (op-eds) in key districts. Buying ads in a local newspaper or website can help you reach the same audience if an op-ed isn't possible. Social media advocacy is like a grassroots approach to media campaigns. Advocates can use social media platforms to share information, organize events, and connect with elected officials and other stakeholders.
- Advising:** Government officials and legislators see hundreds, if not thousands, of bills every session. Public policy advocacy often includes educating decision-makers in hopes that they come to the same conclusion as your campaign. This process is sometimes referred to as advising and is often a part of bigger lobbying and media campaigns. For example, lobbyists can provide data and analysis to elected officials

to help guide their policy decisions. Or grassroots activists can provide stories on how a bill on HIV/AIDS prevention directly impacts their life.

- **Activism:** Activism is sometimes a component of grassroots campaigns. Commonly seen on the news, activists work to raise awareness about issues by engaging in various forms of protest and demonstrations. Demonstrations can be as simple as holding signs on the sidewalk or as extreme as handcuffing yourself to a tree.

#### **Activity Fourteen: Group Work/Brainstorming Session (20 minutes)**

- Task the participants to go into groups and ask them to identify a policy advocacy initiative conducted in their communities in the past.
- Ask participants to identify which type of policy advocacy was utilized to realize the desired outcomes.
- Ask participants to discuss why that particular type was effective compared to others.
- Ask participants to document their findings on flip charts and present to the rest of the groups.




MODULE

2

ASSESSING  
THE POLICY  
ENVIRONMENT

## SESSION ONE

# POLICY ANALYSIS

	<b>Session Objective</b> To strengthen the capacities of the participants in conducting a policy analysis when engaging in policy advocacy
	<b>Materials Needed</b> Flip Charts, Marker Pens, Sticky Notes, Pens and Note Pads
	<b>Time/Duration</b> 1 hour 30 minutes

### Facilitators Notes

**How Policy Works:** The purpose of policy advocacy is to create change. In general, policy aims to create change in three main areas; State of Life Change, Institution Change and Behavioral Change

**State of Life Change:** Involves changes in the quality of people's daily lives and the way they live those lives. Examples include:

- Access to quality education and health care
- Reliable electricity, internet access and other infrastructure
- Reduction in crime, violence, political instability

**Institutional Change:** Involves shifts in the function or a behavior of an official body or organization. New bodies can be created or existing bodies can be modified or given new powers or resources. Examples include:

- Passing new laws e.g., Universal Health Coverage
- Shifting spending to fund HIV/AIDS prevention programs
- Passing a law to decriminalize same-sex and or sex work.

**Behavior Change:** Involves changes in the behaviour, relationships, activities, or actions of the people, groups or organizations targeted by the policy. Examples Include:

- Changes in attitude towards supporting people living with HIV/AIDS.
- Reduction in stigma, discrimination and, human rights abuse for people living with HIV/AIDS.
- Reduction in unhealthy behaviours (e.g. unsafe sex), unhealthy alcohol consumption, smoking, etc.

### Policy and Activities

Policy proposals often seek to influence all three of the areas: life, institution and behaviour. It is important to know the difference between policies and activities.

Policy	Activities
They address the issue for the long-term.	Are essentially short-term or last a very short time.
Have official and often permanent status	Bring temporary attention to the issue
Alter the way official institutions deal with the issue.	May alter relationships but do not change official policy
Change laws, regulations and/or their implementation and enforcement.	Are part of achieving a policy solution, but are not a solution.
Change the way money is spent on the issue.	

### Activity Fifteen: Key Elements of a Policy Analysis (30 minutes)

Policy analysis provides a basis for choosing appropriate advocacy strategies. Policy analysis includes:

- Reviewing policies that relate to a specific issue or problem.
- Identifying key actors and institutions that make decisions about those policies and policy commitments, as well as those who can influence the policy actors and decision-makers.
- Identifying and analyzing key strategies and commitments outlined in the policy that relate to a specific problem.
- Analyzing which institutions and actors are responsible for carrying out the policy commitments.

**Sources of Information for Policy Analysis:** Potential sources of policy information are government bodies, corporations, donors, universities, research institutions, and CSOs. Newspapers and other periodicals are often good sources of information, although it is important to know about the reliability of the publications you use, and whether they have any kind of political bias that might affect their accuracy. Useful information can also be obtained by studying texts of speeches made by public officials. When the issue is complex, or unfamiliar, country networks can consider getting help from someone more familiar with the policy issue. Examples of activities to obtain information for a policy analysis include:

- Reading local newspapers over a period to learn what different interest groups are saying about a policy issue and other related issues eg. Universal health coverage, health care financing, sexual reproductive rights, and other related issues.
- Establishing contact with state institutions whose activities have direct impact on our activities.
- Searching the internet.
- Obtaining copy of established laws
- Referral to experts.




### Activity Sixteen: Group Work on Policy Analysis (1 hour)

- 1 Choose no more than three policies that address HIV prevention in your country.
- 2 As this may be the first time that many participants have reviewed a policy, reviewing more than three may be time-consuming. Choose policies that have the most information and content on HIV prevention.
- 3 If possible, provide copies of the policies or sections of policies to participants.
- 4 Provide background information on when the policy was created and for whom the policy is intended.
- 5 Review the policy with participants, helping them understand how the document is structured.
- 6 Call attention to the overall goals and objectives related to addressing prevention of HIV, what specific policy commitment is outlined, and who is mandated to implement such.
- 7 Lead a discussion about the policy using the following questions printed on a flip chart.

- What problems or issues is the policy trying to address?
- What are the key commitments mentioned in the policy that address these problems or solutions?
- For whom is this policy intended?
- What are the strengths of this policy?
- What are the weaknesses of this policy?
- Are people aware of this policy?

## SESSION TWO

# UNDERSTANDING POLICY FORMULATION AND IMPLEMENTATION CYCLE

	<b>Session Objective</b> To help the training participants understand the policy formulation and implementation cycle.
	<b>Materials Needed</b> Flip Charts, Marker Pens, Sticky Notes, Pens and Note Pads
	<b>Time/Duration</b> 45 minutes

### Activity Sixteen: Policy Development Process (45 minutes)

The policy formulation process typically involves several stages, including agenda-setting, policy development, adoption, and implementation.

- **Agenda-Setting:** The first stage of policy formulation involves identifying issues that require attention and setting priorities. This may involve conducting research, consulting with stakeholders, and assessing public opinion.
- **Policy Development:** The second stage involves developing policy proposals that address the issues identified during agenda-setting. This may involve drafting legislation, developing regulations, or creating programmatic interventions.
- **Adoption:** Once policy proposals have been developed, they must be adopted by the appropriate decision-making bodies. This may involve legislative or executive action, depending on the nature of the proposal.
- **Implementation:** The final stage of policy formulation involves implementing policies and monitoring their impact. This may involve developing operational plans, allocating resources, and establishing monitoring and evaluation frameworks.

### Facilitator's Notes

Policy formulation is the process by which governments and other organizations develop policies that guide decision-making and action. Effective policy formulation is essential to addressing social and economic challenges and achieving positive outcomes for individuals and society as a whole. Policy formulation plays a critical role in shaping society and addressing important issues. Policies guide decision-making and action, and they can have a significant impact on individuals and communities. Effective policies can promote economic growth, protect public health and safety, and advance social justice and equality. Poorly formulated policies, on the other hand, can have negative consequences. They can exacerbate social and economic disparities, erode public trust in government, and contribute to social unrest and instability.

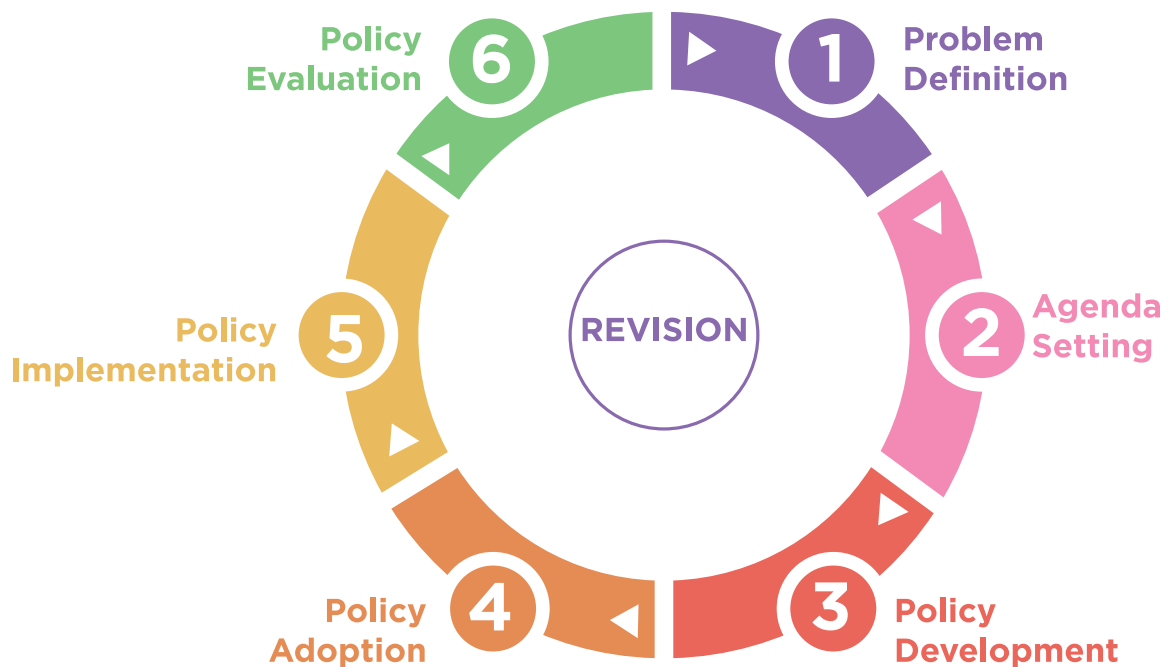


Figure 4: Policy Formulation and Implementation






## Challenges of Policy Formulation

Policy formulation can be a complex and challenging process, particularly when dealing with issues that are contentious or require difficult trade-offs. Some of the challenges of policy formulation include:

- **Lack of Data:** Policy formulation requires accurate and reliable data to inform decision-making. In some cases, data may be lacking or incomplete, making it difficult to develop evidence-based policies.
- **Political Pressures:** Policymakers may face pressure from interest groups, political parties, or other stakeholders to adopt policies that may not be in the public interest.
- **Limited Resources:** Policymakers may be constrained by limited resources, making it difficult to address all the issues that require attention.
- **Limited Expertise:** Policymakers may not have the expertise or resources necessary to develop effective policies. In such cases, it may be necessary to engage with experts, stakeholders, and other decision-makers to develop effective policies.

## SESSION THREE

# UNDERSTANDING POWER RELATIONS IN POLICY ADVOCACY

	<b>Session Objective</b> To help the training participants understand power relations in policy advocacy
	<b>Materials Needed</b> Flip Charts, Marker Pens, Sticky Notes, Pens, and Note Pads
	<b>Time/Duration</b> 2 hours 15 minutes

### Activity Seventeen: Power Mapping Exercise (1 hour 30 minutes)

1. Ask participants if anyone has ever heard of “power mapping.” Ask them to describe what they think it is. Record participants’ contributions on flip charts .
2. Supplement their responses with the definition as shown in the following:

**Definition:** Power mapping is a way to identify and analyze the key policy actors who have influence, or power, over whether (and how) policy commitments are implemented. Power mapping helps identify who needs to be influenced and define your potential relationships with those in power.

3. Tape a blank piece of flip charts to the wall. Identify policy commitment in your country around HIV prevention and follow the instructions below to complete the exercise as a group.
4. Have the working groups share their power maps with the group. Invite participants to provide comments and suggestions on each one.

#### Power Mapping Exercise

- 1 Write the policy commitment in the middle of newsprint. Draw a circle around that commitment.
- 2 Identify the key decision-making institutions or associations that have influence over whether (and how) that policy commitment is implemented. Write these names on the newsprint on the outside of the circle. Then draw a second ring around the institutions.
- 3 Brainstorm the name of one or two individuals who are in charge of or associated with each of those institutions. If the individual’s names are unknown, write down the position or title.
- 4 Identify whether these individuals are supportive, neutral, or opposed to implementing the policy commitment.
- 5 Draw a third circle around the names or titles.

- 6 Brainstorm people who have connections or influence with these individuals. Write their names on the newsprint on the outside of the circle and draw lines connecting those individuals.
  - 7 Again, identify whether individuals are supportive, neutral, or opposed to implementing the policy commitment.
  - 8 If you have personal connections to that individual, note that connection in parentheses next to that name. This will help identify ways to access the individuals or institutions that can ensure that the policy is implemented.
5. Tell participants that they will be referring back to this power mapping exercise throughout the training.
  6. Ask participants what they think is useful about the power-mapping process. Did it clarify anything for them?

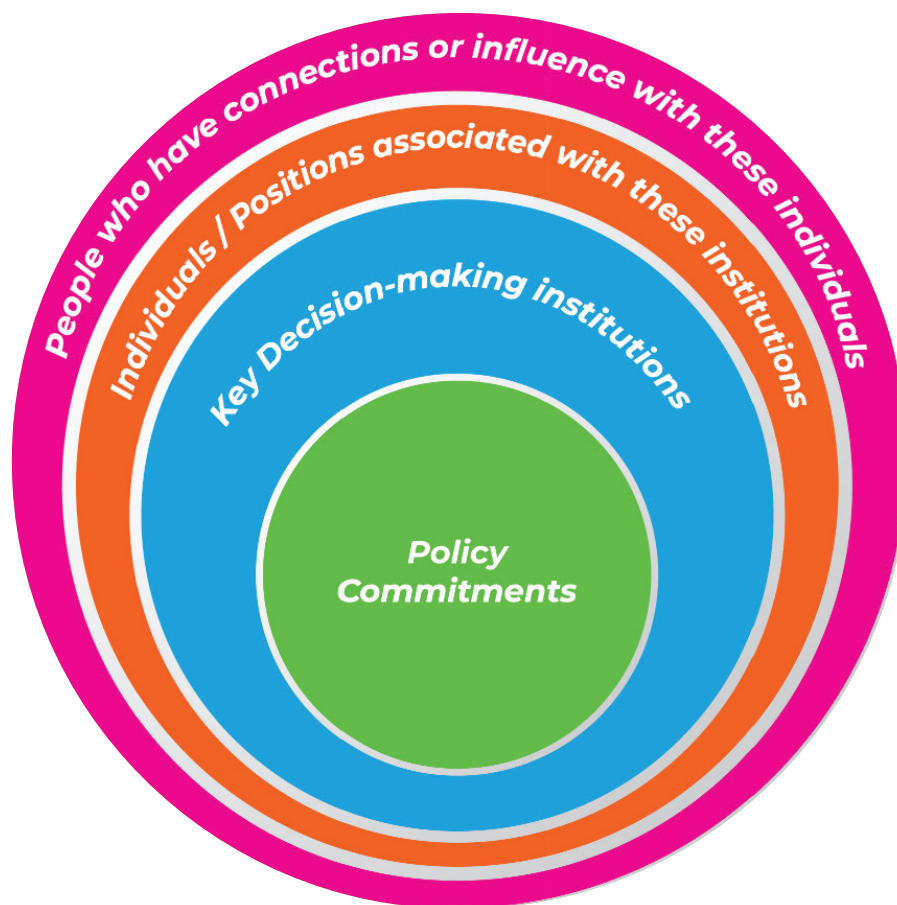


Figure 5: Power Mapping Exercise

### Activity Eighteen: Identifying Opportunities and Barriers: Group Discussion (45 minutes)

1. Tell participants that the next step in their analysis is to think about the key factors that either help or hinder a policy commitment from being implemented.
2. Tell participants that the three main factors that affect whether a policy is implemented are: awareness and knowledge of the policy commitments; support for or opposition to the implementation of the policy commitments; and the availability of resources (e.g. financial or human) for the implementation of the policy commitments.
3. Using the same policy commitment from the previous exercise as an example, have participants suggest factors related to each area, using the guiding questions from the following Table 1 below: *Opportunities and Barriers*.
4. Record their comments on flip charts . (10 minutes)
5. Ask participants if they have any questions about the questions in the matrix.
6. Task the participants to complete the questions in their working groups based on their chosen problem and policy commitment. (20 minutes)
7. Ask for one or two groups to share their work with the rest of the group. Invite comments and discussion. (15 minutes)
8. Explain to participants that now that they have chosen an issue and analyzed their policies, they can now begin to develop an advocacy plan.

Table 1: *Opportunities and Barriers*

Key Opportunities & Barriers	Questions to Explore
Awareness and knowledge of the policy commitments	<ul style="list-style-type: none"> <li>• How much awareness or knowledge is there about these policies and the policy commitments among those mandated to implement them? Among the community at-large?</li> <li>• What are some of the reasons why people are not aware of them?</li> </ul>
Support for the implementation of the policy commitments	<ul style="list-style-type: none"> <li>• What level of support or opposition is there among those mandated to implement the policy commitments?</li> <li>• What level of support or opposition is there in the community for the implementation of the policy commitments?</li> <li>• What are the reasons for the support or opposition?</li> </ul>
Resources available for the implementation of the policy commitments	<ul style="list-style-type: none"> <li>• What resources are needed for the implementation of the policy commitments (financial, human, etc.)?</li> <li>• Who decides whether these resources can be used for the implementation of these policy commitments?</li> <li>• Are these resources available?</li> </ul>




MODULE

3

**POLICY ADVOCACY  
PLANNING AND  
CYCLE**

## SESSION ONE

# UNDERSTANDING THE ADVOCACY PROCESS

	<b>Session Objective</b> In this section of the training, participants will gain deeper understanding of the advocacy process, what goes into each of the processes, and tools for carrying out each of the processes identified.
	<b>Materials Needed</b> Flip Charts, Marker Pens, Sticky Notes, Pens, and Note Pads
	<b>Time/Duration</b> 20 minutes

### Activity Nineteen: Understanding the Processes Involved in Policy Advocacy

Planning an advocacy campaign is a dynamic process. It involves identifying the issue, developing solutions, building support, and bringing issues, solutions, and political will together to ensure that the desired change takes place. It also involves monitoring and evaluating the entire process. A policy advocacy action process can be divided into five distinct steps/processes as described in Figure 6 below:

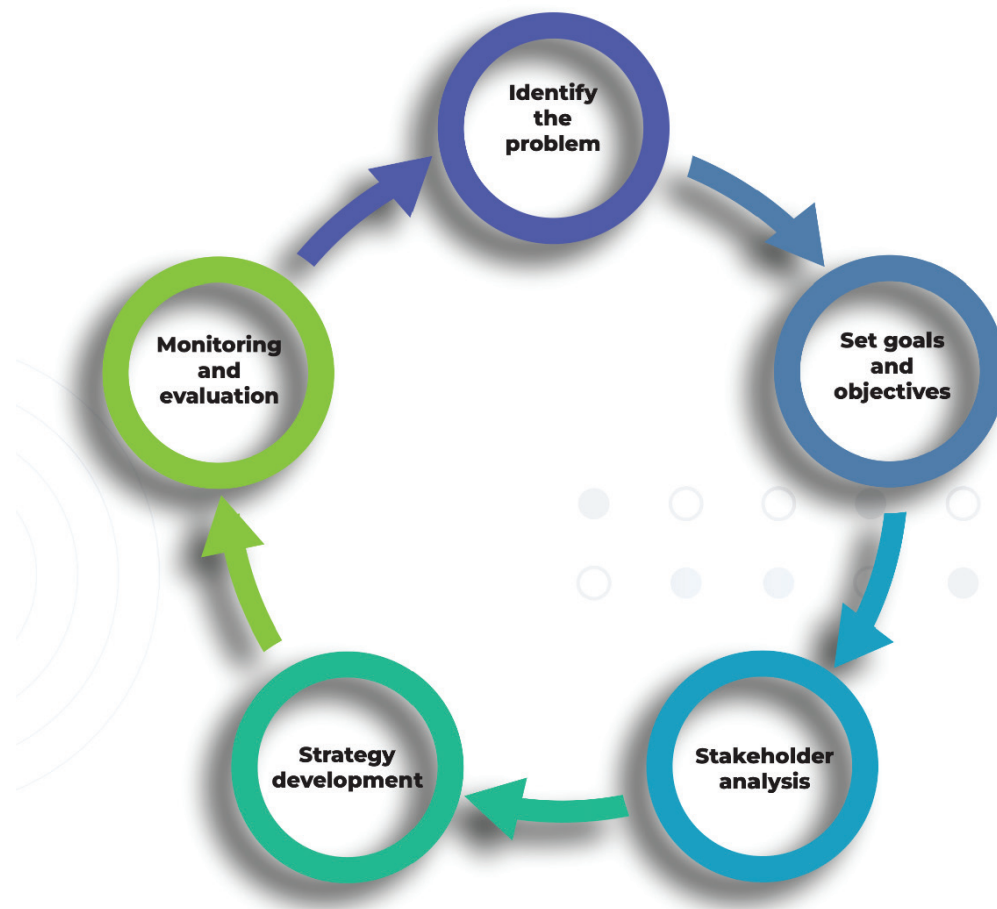


Figure 6: Advocacy Planning Cycle

## IDENTIFICATION OF ADVOCACY ISSUES

### Activity Twenty: Identifying the Problem or Advocacy Issue (30 minutes)

The first step in policy advocacy planning is to identify and analyze the problem to be addressed. The causes of the problem are defined, and one of these causes is selected for remedial action. The cause should be one that can be solved through changes in public policies or programs at a local, national, or international level. At the same time, it is important to understand the way in which the resolution of a specific cause may contribute to solving the general problem.

#### Facilitators Notes

The below practical steps give guidance on how to identify a policy advocacy issues:

#### Step 1: Identification of the Problem to Be Addressed:

The group that is organizing a policy advocacy initiative must first decide what problem it wishes to solve. There are times when the problem is clear and easy to identify, especially in local settings. Nonetheless, it is very common for civil society groups to have long lists of problems that are negatively affecting one or more sectors of the population. In these cases the group must prioritize the problems, choosing one to work on first. It is best to work on one problem at a time because each problem requires separate analysis and a specific proposal about how to solve it. Each problem will require a different strategy for influence, depending upon the government entities and decision makers to be targeted. The problem selected should be solvable through changes in public policy. It should relate to the mission and vision of the group that is organizing the advocacy initiative.

#### Step 2: Analysis of Causes and Consequences

Once the problem to be solved has been identified, organizers can proceed to the analysis of its causes and consequences, asking:

- Why did the problem arise?
- What are the main causes of the problem?
- What are its consequences?

This exercise helps the group move from general demands that may be abstract and complex to more specific demands that are concrete and simple. It is important to differentiate between causes and consequences because it is causes, not consequences, which are targeted by advocacy efforts. A proposal to solve a problem will be effective only if it addresses the root causes of the problem. Proposals that have an impact only at the level of consequences will not solve the underlying problem. If the organizers of an advocacy campaign have clearly distinguished between causes and consequences, they will be able to identify those groups within society that are most affected by the problem. These are precisely the groups most likely to be interested in being part of an advocacy campaign. They should be incorporated into the advocacy effort from the beginning

### **Step 3: Prioritization of Causes**

With in-depth analysis it is common to find that a problem has several causes and that each of these causes must be addressed if the problem is to be solved. This requires organizers to set priorities, by asking:

- Which of the causes should be addressed first? Why?
- Is there one cause whose resolution would contribute more than the others to solving the problem? Why?
- Which cause is most readily resolved in the short term? Why?
- Is there one cause that is blocking the resolution of the others? How?

At times the organizers of an advocacy initiative must choose between the cause whose resolution would be most critical for solving the problem and a different cause that is feasible to resolve in the short term. In such cases there may sometimes be an advantage in choosing the cause that is less critical but easier to address. Achieving an early win will help the group or coalition gain valuable hands-on experience and become stronger. It may also motivate more people to become involved in future advocacy initiatives sponsored by the group.

### **Step 4: Detailed Examination of the Prioritized Cause**

Once a specific cause has been given priority, it must be examined in detail, separating it into its different contributing factors. The goal is to reach the point where alternative solutions become clear.

## **Lessons Learned from Experience**

The identification and analysis of the problem is one of the most difficult steps in the planning of advocacy campaigns. Several lessons have been learned from experiences in the field:

- Inadequate information is a common obstacle that impedes the analysis of problems. Organizers of advocacy initiatives may need to do additional research themselves or tap into the research expertise of universities or think tanks.
- Confusion between causes and consequences is a constant danger. It can lead to the proposal of solutions that do not address the roots of a problem.
- Incomplete examination of a problem can lead a group to concentrate its efforts on resolving less-important issues.
- In practice, many groups prioritize problems that are of little importance to the general population. This limits the possibility for mobilizing other groups in society to act and make it difficult to maintain momentum.



- Another frequent mistake is to analyze a problem without consulting those groups in society that are most affected by it. This can occur because of time pressure or lack of human or financial resources. In addition, sometimes leaders of advocacy efforts do not consider such participation to be necessary. Experience has shown that consultation with the people whose lives are most affected by a problem enriches the analysis of the problem and the preparation of proposals for solutions. It also lays the groundwork for future mobilization of the social forces needed to make the advocacy efforts successful.

### Activity Twenty-One: Tools for Analyzing the Identified Issue (1 hour)

Once you have identified the issues you are most concerned with, and have collected the relevant information about them, the next step in the advocacy planning cycle is to subject the issues to a thorough analysis. By analyzing your issues, you can identify how you can influence the issues and which stakeholders are best placed to attempt to bring about that influence. There are several different ways of analyzing an issue, but each of them really attempts to do the same thing: to break the issue down into smaller parts. These help with understanding the issue, context in which the issue operates and how you can bring about change. Here we present four different tools for analyzing your issue, and where it fits into your advocacy work:

**Problem analysis framework:** This method of analysis centers on splitting the issue under consideration into a list of sub-issues. Within each sub-issue, you will examine the consequences of the problem, its causes, and any possible solutions.

Table 2: Problem Analysis Framework

	Issue		
	Consequences	Causes	Solutions
Sub-issue 1			
Sub-issue 2			

**RAPID framework:** The Research and Policy in Development (RAPID) team at the Overseas Development Institute developed the RAPID framework to help develop an understanding of the policy and political influences on a particular issue, as well as identify that issue's stakeholders and policy actors. To do advocacy work effectively, we need to understand the power relationships involved in a particular issue, as well as the decision-making processes involved. If, for example, we are planning advocacy work on the financing of sanitation services in poor urban areas, an analysis is needed of exactly who makes the decisions about financing sanitation services and how those decisions are made as shown in the following Table 3.

Table 3: RAPID Framework

External Environment	Political Context
<ol style="list-style-type: none"> <li>1. Who are main actors in the policy process?</li> <li>2. What influence do they have? Who influences them?</li> <li>3. What are their priorities and policy agendas?</li> <li>4. How do social structures and customs affect the policy process?</li> </ol>	<ol style="list-style-type: none"> <li>1. Who are the key policy actors?</li> <li>2. What is the policy environment?</li> <li>3. What are the policymaking structures?</li> <li>4. What are the policymaking processes?</li> <li>5. What is the relevant legal/policy framework?</li> <li>6. What are the opportunities and timing for input into formal processes?</li> </ol>
Links	Evidence
<ol style="list-style-type: none"> <li>1. Who are the key stakeholders?</li> <li>2. What roles do they play?</li> <li>3. Which individuals or institutions have a significant power to influence policy?</li> <li>4. Are these policy actors and networks legitimate?</li> <li>5. Do they have a constituency among the poor?</li> </ol>	<ol style="list-style-type: none"> <li>1. Is there enough evidence (research based, experience and statistics)?</li> <li>2. How divergent is the evidence?</li> <li>3. What type of evidence exists?</li> <li>4. Is the evidence relevant?</li> <li>5. Is it accurate, material, and applicable?</li> </ol>

**PESTLE analysis:** A PESTLE analysis offers a framework for examining the external environment and trends that may affect the issue you are working on. Having drawn up a list of the PESTLE factors, you should identify which ones are significant to your work, as opportunities or threats. Your problem is examined according to the following factors:

- **Political:** including, for example, government and government bodies, legislature and judiciary, and any other political movements or pressure groups.
- **Economic:** including, for example, its GDP, debt, sources of government income, private sector employers, income distribution, etc.
- **Sociological:** including, for example, demographics, education and health, employment rates, land ownership and media.
- **Technological:** including, for example, information technology infrastructure, access to telecommunications.
- **Legal:** including, for example, the restraints and other legal factors relevant to your advocacy work.
- **Environmental:** including, for example, deforestation and desertification, pollution, drought, flooding, wildlife and/or agriculture.

**Problem Tree Analysis:** A problem tree analysis helps to understand the current situation. Participants can be able to focus on the issue that they want to address by understanding the problems and identifying the solution. This is the starting point for action. Problem analysis helps to set the advocacy priorities. It also provides a baseline on which they can measure progress. The trunk is the most visible part of a tree. It is what tends to represent the problem. (For instance, polluted rivers or water scarcity.) The roots support the tree. The roots also feed the tree and feed off it. The details of the nature or character and strength of the tree are in its roots. These are the causes of your problem. (For instance, deforestation, riparian encroachment.) If you uproot a tree, it dies; therefore, if you solve the root causes then the advocacy problem ends. It is important to differentiate between causes and effects. Because advocacy efforts target causes and not effects. A proposal to solve a problem will be effective only if it addresses the root causes of the problem.

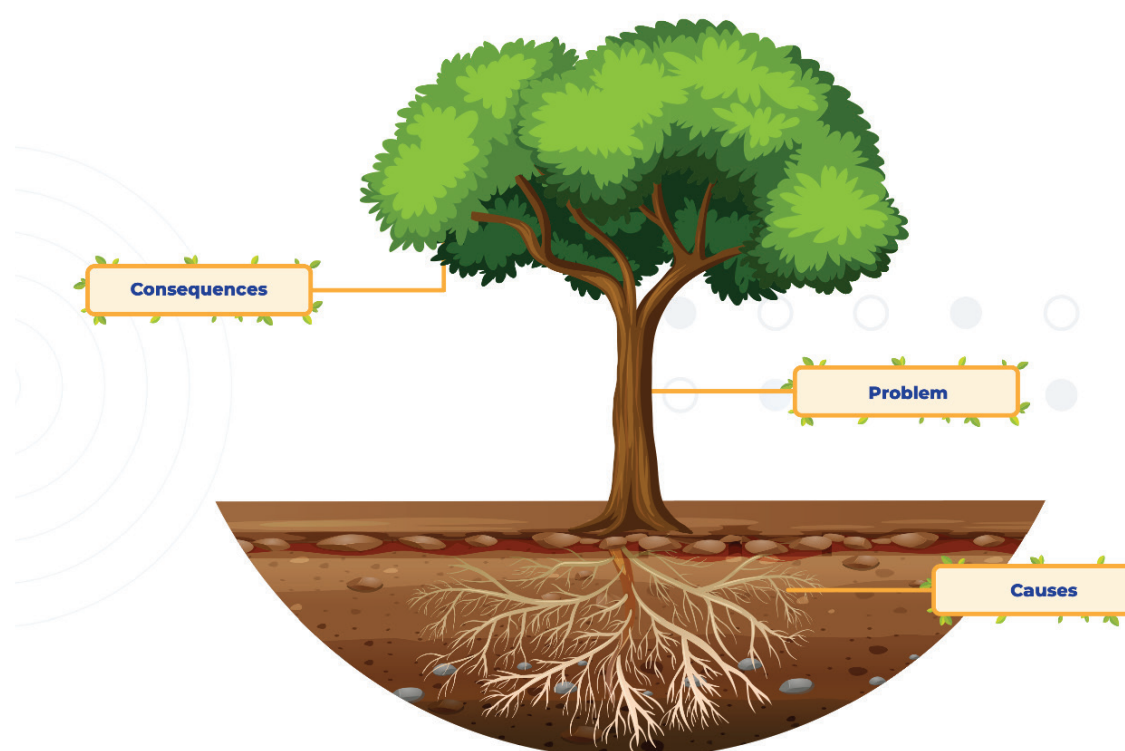


Figure 7: Problem Tree

### Activity Twenty-Two: Developing Your Own Problem Tree Group Discussion (1 hour)

1. In the plenary, discuss possible problems in addressing HIV prevention and select the five most pressing problems.
2. Give each group one problem identified to discuss their causes and effects. Let them note the identified causes and effects on the colored cards. Each problem, cause, and effect should be on its own card.
3. Let them begin by drawing a tree on a flip chart, as shown in the example below and then placing the main problem in the center (tree trunk).

4. Let the participants discuss causes of that problem and the consequences or effects.
5. The effects should be listed/placed above the main visible problem and root causes below it, i.e. at the treetop and roots respectively.
6. List as many causes of the problem as possible there are.
7. The facilitator should use the facilitator's notes given above to guide the participants.
8. Draw arrows from the causes to the visible problem. While listing each cause, brainstorm on the cause of the cause. The cause may also turn out to be another problem.
9. List as many effects of the visible problem as possible. Draw an arrow from the visible problem to the effect. For each effect, ask what further effect it could have on the situation or the people.
10. Look at the causes that can be improved or addressed through advocacy.
11. The participants should then present their work in plenary.

### **Activity Twenty-Three: Turning Your Problem Tree into a Solution Tree** **Group Work (30 minutes)**

Plenary introduction and group work to analyze the problems and identify actionable solutions:

1. The facilitator shows the participants the format of the solution tree as illustrated below and explains its link to the problem tree in figure above. The facilitator can alternatively draw this on a flip chart or a white board or write it on colored cards.
2. The facilitator then gives the participants the format to analyze the problems and solutions they came up with in the problem tree. The groups will come up with many problems and solutions. Since they cannot address all of them at the same time due to resources (time and finances) constraints, there is need for prioritization on what issue affects most people and will have a greater impact.
3. The facilitator lets the participants turn the problem tree into a solutions tree.
4. For each cause of problem identified in the problem tree, the participants should propose a solution to solve the problem. The solutions identified to address the cause of the problem (in the problem tree) will be the source of a specific advocacy initiative.
5. Once each group has come with its proposed solutions, the facilitators assist in combining the solutions from the different groups on a flip chart and brainstorm in the plenary to prioritize them by voting.
6. The solution with the most votes will be the one that the participants have determined to be the most appropriate for policy advocacy.

### Facilitator's Notes

For each potential solution, there is a need to evaluate the following things:

- Impact (Who will benefit, who will be left behind and how?)
- Does it address the underlying problem (cause)?
- Which resources and partnership opportunities are available to address the problem?
- What are the risks and how can they be overcome?

### Activity Twenty-Four: Selecting Criteria for Policy Advocacy Issue Group Discussions (45 minutes)

Pair the participants in four groups and task them to further prioritize the policy advocacy issues identified in the previous exercise using the following criteria.

#### 1. Is the Issue a priority? Yes/No

	Questions
1	Does the issue affect many in the population?
2	Will addressing this issue help to improve HIV prevention and people affected by HIV?
3	Will advocacy contribute to change on this issue?
4	Is advocacy the best tool for addressing this issue?
5	Is there momentum around this issue from other groups and organizations?

#### 2. Is the issue achievable?

	Questions
1	Does the issue have a specific and achievable goal (short-term or long-term)?
2	Do effective coalitions exist or could they be started to add value to achieving the goal?
3	Do we have access to the decision-makers on the issue, either in our own right or in the coalition with others?
4	Does the issue compliment with current advocacy initiatives and the overall mission of your organization?




### 3. Is the issue sellable?

	Questions
1	Is the issue new and fresh enough to engage the diverse audience?
2	Is the issue relevant to our organizational mandate and constituency?
3	Could this issue be interesting to the public to and the media?
4	Are supports and the donors interested in the issue?
5	Is the Issue on the political agenda or potential to the political agenda?
6	Are there enough stories and examples to engage the public?
7	Do a variety of targets exist in relation to the issue?
8	Can links be made to the issue to broaden the potential audiences?

### 4. Is the Issue appropriate?

	Questions
1	Does the issue fit with our organizational priorities?
2	Will policy advocacy on this issue allow us to meet our organizational aims?
3	Are we clear about our contribution toward seeing change on this issue?
4	If other organizations are working on these issues, how important is it that we work on it too?
5	Could advocacy on this issue improve our organizational reputation?
6	Has your organization handled this issue previously and what was the learning experience?
7	Does your organization have credibility with the beneficiaries and stakeholders?

## FRAMING OF ADVOCACY GOALS AND OBJECTIVES

	<b>Session Objective</b> To enable the participants to frame advocacy goals and SMART objectives.
	<b>Materials Needed</b> Flip Charts, Marker Pens, Sticky Notes, Pens, and Note Ppads
	<b>Time/Duration</b> 3 hours 30 minutes

### Activity Twenty-Five: Defining Goals and Objectives (30 minutes)

#### What is a Goal?

The goal is the subject of your advocacy effort. It is what you hope to achieve over the long-term, such as improved sexual and reproductive health among young people, reduced rates of new HIV infections among young people, or reduced maternal mortality and morbidity among adolescents.

#### What is an Objective?

An objective is a more specific statement that clearly describes particular results that will be pursued in a specific period of time. An advocacy objective aims to change the policies, programs, or positions of governments, institutions, or organizations. Your advocacy objective is what you want to change, who will make the change, by how much, and by when. Generally, the time frame for an advocacy objective will be 1-3 years. An objective is an incremental and realistic step toward a larger goal or your vision; it is not a general goal (e.g. increase family planning use among couples). Rather, the policy advocacy objective must focus on a specific action that an institution can take. An objective should be specific and measurable. Good objectives are “SMART” – i.e. they are:

- **Specific.** They clearly spell out what needs to be done to achieve the goal.
- **Measurable.** Progress or results can be assessed or quantified.
- **Achievable.** They are possible to meet and likely to be accomplished successfully.
- **Realistic.** The desired results are feasible given the resources and capabilities of the organization and the context in which the advocacy effort will take place.
- **Time-bound.** There is a clear timeframe for achieving the desired results.

### Objectives should also include the following four elements:

- **The policy actors or decision-makers who have influence over whether policy activities are implemented** (e.g., Ministry of Education official, Principal of the Secondary School, District Health Official, etc.). The specific action or response the policy actors or decision-makers will take to either implement the policy commitment or address the key factors that are keeping the policy commitment from being implemented (i.e. allocate funds to support an initiative).
- **The amount of change desired.** This will include deciding on: Scope – at what level (institutional, community, district, regional, or national) is the advocacy campaign working to see change? Scale – how much or to what degree of change are they hoping to see?
- **The amount of time that will be needed to implement the actions and see the outcomes.** Participants should be realistic about how long it will take to see change.

#### Facilitator's Notes

In the previous session, you identified issues for policy/programmatic action and corresponding solutions. Selecting one of these solutions to work on as an advocacy objective is the next step in planning your advocacy effort. Advocacy, in this manual, means advocating for policy change. When choosing an advocacy objective consider the political climate, the probability of success, research and data on your issue, money available to support your advocacy efforts, your organization's capacities, and your own capabilities. This session will introduce how you can use some basic criteria to choose an advocacy objective. If, however, you have already defined an advocacy objective, analyze it based on the criteria presented here to help uncover potential obstacles or possible allies. The same criteria can be used to analyze and/or choose an overall advocacy goal or issue.

Can you choose more than one objective to work on at a time? This depends on your organizational and personal resources for advocacy. It is generally advisable to focus your work on only as many objectives as you can realistically achieve. Advocates who attempt to fix everything run the risk of changing nothing in the process. The purpose of this module is to assist you in focusing on an objective that is realistic, achievable and worthwhile. Succeeding first with smaller objectives will give you and your organization more enthusiasm, experience, and credibility to conquer more ambitious objectives.



### Activity Twenty-Six: Developing a Policy Advocacy Goal Group Work (15 minutes)

- Tell participants that when formulating advocacy goals, they will focus on the problems that they had previously identified on the problem tree analysis. The advocacy goal also needs to be a result that can be attained by the implementation of the policy commitments that they had identified under policy analysis and power mapping exercises.

### Activity Twenty-Seven: Analyzing SMART Objectives Group Work (45 minutes)

- Tell participants that they will now be analyzing the objectives in the text box below to determine whether they are SMART.

#### Examples of Objectives to be Analyzed

- Educate young people on HIV and AIDS through drama performances.
  - Educate community leaders on national policies and information related to health, education, and the environment.
  - Discuss why young people have the right to sexual and reproductive health.
  - Increase young women's use of health services.
  - Create awareness about the importance of youth-friendly services.
- Have a volunteer read the first objective. Ask participants if it is a SMART objective. If not, ask participants to fix, or strengthen, the objective to make it SMART. Record revised objectives on a flip chart.
  - Repeat with the remaining objectives. (30 minutes)
  - Remind participants that when developing their own objectives, they need to make sure that they are SMART advocacy objectives.

#### Elements of an Objective: Policy/Programme "actor" or decision-maker + Policy/Programme "action" or response + Outcome/Degree of change + Time

- The POLICY ACTORS or decision-makers are those who have influence over whether the policy commitments are implemented (i.e., a Ministry of Education official, a principal of a secondary school, a district health official, etc.). Participants should review the list of institutions and individuals that they came up with during their Power mMapping Exercise to help them decide which decision-maker(s) to target.
- The POLICY ACTION is the specific action or response the decision-makers will take to either implement the policy commitment or address the key factors that are keeping the policy commitment from being implemented (i.e. allocate funds to support an initiative). Participants should review Table 1: Opportunities and Barriers of Policy Commitments to identify key opportunities and barriers that should be addressed.

- The OUTCOME is the amount of change desired. This will include deciding on: Scope: At what level (institutional, community, district, regional, or national) is the advocacy campaign working to see change? Scale: How much or to what degree of change are they hoping to see?
- The amount of TIME refers to how long it will take for the decision-makers to implement the actions and for the advocacy campaign to see outcomes. Participants should be realistic about how long it will take to see results.

### **Activity Twenty-Eight: Developing SMART Objectives (2 hours)**

1. Tell the participants that as they develop their advocacy objectives, they should make sure to include the four elements of an objective as indicated in the previous notes.
2. Tell participants that they can develop up to three objectives if they choose, but they should feel free to do just one.
3. Have each group present their objectives to the group. Review whether the identified objectives are SMART and advocacy focused. Have the group collectively work together to strengthen the objectives as needed. (30 minutes)
4. Ask participants if they have any other questions about developing objectives.




MODULE

**4**

**POLICY ADVOCACY  
PLANNING AND  
CYCLE**

## SESSION THREE

# IDENTIFYING ADVOCACY TARGETS AND AUDIENCES

	<b>Session Objective</b> By the end of this session, participants will be able to define primary and secondary audiences; identify and analyze their target audiences; identify opposition and different ways to deal with them.. .
	<b>Materials Needed</b> Flip Charts, Marker Pens, Sticky Notes, Pens, and Note Pads
	<b>Time/Duration</b> 2 hours 45 minutes

### Activity Twenty-Nine: Advocacy Targets and Audiences (45 minutes)

#### Facilitator's Notes

You have identified issues for action and chosen an advocacy objective. How can you build the support you need to make your objective a reality? Who needs to be convinced to act? Who can help you reach your objective?

An audience-centered approach offers the necessary tools to distinguish, analyze, reach, and motivate key policy players. These techniques can help you target the institutions and people that are critical to your success, rather than attempting to reach all decision makers and all sectors of society. To understand the knowledge, attitudes, and beliefs of your audience, you must do some audience research. Begin your research with audience segmentation a way of grouping decision makers, influential leaders, NGOs, or professional associations into sub-groups with similar characteristics.

You can learn about and target your messages to the concerns of each sub-group. In addition to being familiar with what any given audience knows and feels about your objective, it is also critical to learn about the internal norms, informal rules or codes of conduct that the group might have. One constructive way to separate audiences into groups is to identify primary and secondary audiences.

## Primary Audiences

Primary audiences are those individuals and institutions that are positioned to take the action or actions that are the ultimate focus of the advocacy campaign. Primary audiences are generally those decision-makers who are responsible for planning or managing programmes or allocating the resources for the programmes. These decision-makers are the primary targets of an advocacy strategy.

### Facilitator's Notes

#### Example:

**Advocacy objective:** To pass a law to mandate and fund the building of 100 community schools for girls.

**Primary audience:** Minister of Education, Minister of Finance, and the Prime Minister. Members of Parliament may also play a role.

### Secondary Audience

Secondary audiences are individuals and institutions that can influence the decision-makers (or primary audience). The opinions and actions of these influential individuals can be important in achieving the advocacy objective as they may influence the opinions and actions of the primary audience.

**Example: Advocacy Objective:** To pass a law that mandates the government to establish 15 youth friendly centres for young people affected by HIV/AIDs in a District

**Secondary audience** might include: Key staff of Members of Parliament, advisors to the Minister of Health, Minister of Finance, key women, non-governmental organizations, youth-serving organizations, community health workers, newspapers that these decision-makers read regularly, and foreign donors.

Some members of a primary audience can also be a secondary audience if they can influence other decision-makers. In addition, a secondary audience may include people who are against the objectives of an advocacy initiative. In analyzing primary and secondary audiences for an advocacy initiative, it is important to consider potential sources of opposition, learn about them, and address them as an audience for the advocacy campaign.

There are many kinds of audiences for advocacy initiatives. Broad, loosely defined groups, such as parents, may be an audience. Similarly, an advocacy campaign may focus on very specific audiences, such as religious leaders or a particular association of parents in the province of a key parliamentarian. The key to effective advocacy is focusing on audiences that can have an impact on the decision-making process.

### Examples of Target Audiences for a Policy Advocacy Campaign:

*Table 4: Target Audiences for a Policy Advocacy Campaign*

Politicians (local, provincial, national)	Opposition leaders
Non-governmental organizations	Community groups
Religious or faith-based groups	Spouses of politicians
Health care providers	Media (journalists, editors, etc.)
Political parties	Ministry officials
Businesses or business leaders	United Nations Agencies

### Activity Thirty: Analyzing Target Audiences Group Work (2 hours)

- From the advocacy objectives and goals identified in previous exercises, ask participants to rejoin their working groups and identify two primary and two secondary target audiences.
- Present the **Audience Analysis** which is attached at **Annex 4.4** section of this manual and ask for everyone's attention while you introduce the exercise. Explain to participants that this exercise is designed to help them better understand their primary and secondary audiences so that they can strategically target them in their advocacy campaign. Explain that an audience analysis for advocacy should focus on the following factors:
  - Level of knowledge about the advocacy issue: Is the target audience well-informed or lacking accurate information?
  - Level of agreement with the policy commitment: Is the target audience supportive, opposed, or neutral?
  - Potential benefits or risks to audience related to the issue: From the point of view of the audience, what are some of the benefits or risks of supporting the objectives of the advocacy campaign?
  - The action you want the audience member to take: What can the target audience do to address the problem or issue?
- As participants work on their audience analysis, spend time with each group to help them stay on track and answer any questions that may arise. (45 minutes)
- When they have completed the worksheet, invite each group to summarize its work for the full group. Take questions and comments from the larger group. (20 minutes)

## Opponents

Who stands to lose, and has the power to stop us achieving our objectives? Though it is very difficult to stop opponents, it is worth investing time in understanding their arguments and having counter-arguments ready. Understanding their strengths also provides some insight into the feasibility of achieving an objective or influencing a target, and the opportunity to re-prioritize if necessary. Examining our opponents' obstacles to change can also help to refine or strengthen our objectives. It's worth considering why something might be opposed — it helps to build the case, or identify new research that might be needed to convince the unconvinced.




## Strategies for Dealing with Opposition

It is not easy to deal with opposition, but a direct and well-thought-out strategy can be critical to the success of an advocacy campaign. Key approaches for dealing with the opposition include:

- **Being prepared.** Identify in advance which individuals or groups might potentially oppose the advocacy campaign and reasons why. Think about their concerns and how they can be addressed through advocacy campaign messages.
- **Listening to the concerns of uncertain or unsupportive people.** Listening to the other side of the issue and understanding what causes other people to disagree demonstrates respect for their beliefs and can help identify counter-arguments that will be effective in changing their views or addressing their concerns.
- **Providing clear and accurate information to convince critics.** People form opinions based on the information they have; giving them more information may help change their opinions.
- **Thinking strategically.** One influential leader can help persuade other people. Before seeking to convince people, who may disagree, concentrate on an opinion leader who is likely to be supportive. Use his or her support to convince others.
- **Picking persuasive messages.** Different types of information convince different people. For example, parents may be concerned that a new education programme will provide too much information about sexuality but may agree that youth need more help understanding how HIV is transmitted and how to protect themselves. In such a case, emphasizing that a sexual education programme will prevent the transmission of HIV may be more effective than providing general information on the full content of the sexual education curriculum. Focusing on the areas where people agree with the goals will help build common ground.
- **Looking for other ways of reaching goals.** Sometimes, despite everyone's best efforts, advocates are unable to convince an influential person whose support is critical to the success of the advocacy campaign. One influential opponent may be able to block a plan for a long time. For example, if a school headmaster refuses to allow a HIV/AIDS awareness education programme to run on school grounds, advocates for the programme might ask another institution, such as a local youth center or community hall to permit the programme to be based there instead.

Dealing with opposition is not easy, but it may provide an opportunity to educate and communicate with the public. Open discussion allows everyone to be heard and different ideas to be considered. Open communication may lead to a compromise that is acceptable to all sides. Listening to others, answering their questions, and responding to their concerns helps build support in a community.

## STAKEHOLDER ANALYSIS

	<p><b>Session Objective</b></p> <p>To equip the participants with skills on how to conduct stakeholder analysis in identification of advocacy targets and audiences</p>
	<p><b>Materials Needed</b></p> <p>Flip Charts, Marker Pens, Sticky Notes, Pens and Note Pads</p>
	<p><b>Time/Duration</b></p> <p>1 hours 30 minutes</p>

### Activity Thirty-One: Stakeholder Analysis Process (30 minutes)

An analysis will offer clarity about your allies, adversaries, and targets, and help you prioritize and strategize. For each stakeholder, you need to identify three things in relation to your issue:

- What is the attitude of the stakeholder to your position (for example, very anti, anti, neutral, pro, very pro)?
- How important is the issue to your stakeholder?
- How much influence does your stakeholder have on the issue?

The analysis allows you to identify those who are likely to be your key allies and opponents in relation to your advocacy issue. Those who have most influence but are most anti- your position will be those where the key convincing will need to take place. Those with the most influence and who are most in favour of your position are likely to be key allies. Those with high influence, who are neutral on your issue, could well be your key targets at the earlier stages of your advocacy work.

There are several ways to influence stakeholders, based on your analysis. For example, you may wish to attempt to convince a stakeholder who currently regards your issue as low priority to increase their prioritization of or interest in it. Or you may seek to increase the influence of allies and those who are pro your position; or indeed reduce the influence of those who are anti your position.

### Activity Thirty-Two: Develop a Stakeholder/Target Analysis Group Work (1 hour)

The following exercises will help the participants to design a comprehensive stakeholder/target analysis. In groups, list the advocacy targets identified (primary and secondary) and then probe:

- What do they know about the issue?
- What is their attitude toward it?
- What do they really care about?
- Who has influence over them?
- What influence or power do they have over the issue?



Target	What they know	What is their attitude	What they care about	Who has influence over them	What influence do they have

Table 5: Stakeholder Analysis Template

## CONSIDER THE FOLLOWING AFTER IDENTIFICATION OF THE TARGETED DECISION-MAKER



### ENGAGE

If your target is fully in favor of your position and has high interest in the issue, you should seek to include them in your advocacy planning network. They may be able to open valuable doors for you.



### PERSUADE

If your target is interested and somewhat agrees with your advocacy goal, you should try to persuade them by increasing their knowledge and showing them that your advocacy objective is the appropriate solution.



### CONVINCE

If your target is on the fence in relation to your advocacy goal but only has medium to- little interest in it, you should try to convince them by showing that your cause is supported by people or institutions that are relevant to them.

This can include constituents, other decision-makers, power groups, or public opinion leaders.



### MONITOR

If your target is against your position but has little interest in the issue, you might want to devote a bit of energy towards monitoring them, especially if they are powerful or influential. They may suddenly choose to move towards other sections of the spectrum, meaning you will need to rethink your approach.



### NEUTRALIZE

If your target is against your position, has a lot of power, and is interested in your issue, you may need to neutralize their influence. This can be difficult – you must avoid unethical practices and putting yourself (or others) at risk.




This does not deserve a lot of your energy, so be careful how much you focus on this in your activities.

MODULE

5

**STRATEGIC  
COMMUNICATION  
FOR POLICY  
ADVOCACY**

## DEVELOPING ADVOCACY MESSAGES

	<p><b>Session Objective</b></p> <p>After completion of this session, the participants should be able to formulate evidence-based messages that can reach specific audiences and identify the right message for each audience.</p>
	<p><b>Materials Needed</b></p> <p>Flip Charts, Marker Pens, Sticky Notes, Pens, and Note Pads</p>
	<p><b>Time/Duration</b></p> <p>2 hours 30 minutes</p>

### Activity Thirty-Three: Developing and Delivering Policy Messages (1 hour)

One of the most effective ways to build awareness about your issue and to generate backing for your goal is to divide your audience into groups and develop a message to which each group will respond. An advocacy message is a concise and persuasive statement about your advocacy goal that captures what you want to achieve, why, and how. Since the purpose of a message is to create action, your message should also include the specific action you would like the audience to take. Your message is a **summary of the change** you want to bring about, based on the work you have done to research your issue and identify key targets. Using solid information and analysis, groups can develop their **position on an issue**, create compelling arguments, and design a message that communicates all this in a nutshell. **Communication of this message** is central to effective advocacy, as is communication in general – between your allies and stakeholders, but also in the presentation of your messages to external audiences, from policymakers to affected communities. **Creating a single message** enables all stakeholders – from writers of advocacy materials and event organisers, to spokespeople, staff, and volunteers – to be united in the advocacy message.

### Qualities of a Clear Message

- Should summarize the change you want to bring about.
- Should be short and punchy, just one or two sentences.
- Should be understandable to someone who doesn't know the issue.
- Should include a deadline for when you want to achieve your objective.
- Should include the reasons why the change is important.
- Should include any action you want the audience to take in response.
- Should be memorable.

## Framing Your Message

Once your key messages are established, they will still need to be ‘framed’ according to the audiences you are seeking to reach. While your overall position on the advocacy issue does not change, you should seek to adapt the way you present your message to achieve the greatest impact on a particular audience. Understanding the issues your advocacy target cares about enables you to make links in your message between your issue and their concerns, and therefore increases the likelihood of a positive response from your target. However, the process of defining and framing the message also must be consistent with your overall position. Framing the message must be done without diluting the facts, compromising core values, or undermining the people you work with.

## Effective Advocacy Messaging

- **Who to target with your message:** Your analysis of the issue, and who is responsible and influential in policy change, will determine how you present your core message to that audience.
- **Tailor the message:** What is the most persuasive way to present your core message to the target audience? What information do they need, and what don’t they need? What key action do you wish them to take?
- **Effective framing:** Which practical frame will make your message more effective? What should it contain? In what format should it be delivered? Length, images, and even messenger are important.




### Example of Effective Advocacy Messages

- Religious leaders share in the pain of seeing youth lying in hospitals dying of AIDS-related diseases. As moral guides, it is important that religious leaders work to eliminate the barriers youth face in accessing information about their reproductive health and sexuality. We must create supportive environments in our communities and our places of worship to help youth understand their sexuality and the associated risks of early sexual behavior.
- Parents need to make time to freely communicate with their children about their physical growth, development, and consequences of early sex. Our children feel good when they know we care and when they can trust us to tell them the truth. Though virginity is something good to encourage, we know that not all our children choose or are able to abstain from sex. Therefore, we should give them information about their reproductive health including information about their growth and development, how to say ‘no’ when they are pressured to have sex, and how to protect themselves from early pregnancy, sexually transmitted infections (STIs), and HIV.
- Youth are at risk of STIs including HIV because they are having sex, and most of them do not have correct reproductive health information or access to health services. When we see young people in clinics, we are challenged by the fact that many do not know what they are suffering from or how to prevent it. All young people of reproductive age should have access to correct information about the health risks of early and unprotected sex and the safety measures necessary to prevent infections and early pregnancy.

**Activity Thirty-Four: Developing Policy Messages Group Work (1 hour 30 minutes)**

- Tell participants that now that they have identified characteristics of effective messages, they should develop advocacy messages specifically for each of their target audiences.
- Remind participants that to maintain the attention of their audience, an advocate should develop a clear and concise central message that they are able to communicate in one or two minutes.
- Tell participants that when developing their messages, they should think about how they will:
  - Inform their audiences about the issue.
  - Persuade them that it is an issue that needs to be addressed.
  - Move the audience to take a specific action.
- Ask participants to rejoin their working groups and develop an advocacy message for each of their target audiences. Tell participants that they should review Table 15: **Audience Analysis Matrix** at **Annex 4.4** to ensure that they are targeting their messages appropriately. (45 minutes)
- Ask each group to present two of their messages – the one that they like the best and one that they are finding difficult or challenging. After the two messages have been shared, lead a discussion about each, using the following questions:
  - What was the central advocacy message? Was it clear?
  - Put yourselves in the place of the target audience. Were you informed, persuaded, and moved to act? Why or why not?
  - What was most effective about this advocacy message?
  - Does anyone have any ideas for strengthening the message?
- Remind participants that an effective advocacy message is a critical part of a successful advocacy campaign.

## IDENTIFYING THE MESSENGER

	<p><b>Session Objective</b></p> <p>To help the participants understand the importance of identifying an effective policy advocacy messenger.</p>
	<p><b>Materials Needed</b></p> <p>Flip Charts, Marker Pens, Sticky Notes, Pens, and Note Pads</p>
	<p><b>Time/Duration</b></p> <p>1 hour 15 minutes</p>

### Activity Thirty-Five: Your Advocacy Messenger (30 minutes)

Having decided on your way into the process and identified your target audience(s), the planning now turns to who should take on the role of the “face” of the advocacy campaign. In advocacy, the messenger is often as important as the message, and the choice of the right face or messenger can seriously impact your chances of achieving influence. The messenger must commit to an often lengthy and complex process of engaging, persuading, and negotiating with target audiences through many waves of communication toward the ultimate goal of having them adopt your proposals and act upon them. Hence, the decision about who will take on the different challenges and roles of messenger should not be taken lightly.

### In Advocacy, the Messenger is Often as Important as the Message.

Although “messenger” or “face” may imply an individual, given the responsibility involved in the messenger role, it is not necessarily one person who will be the spokesperson for all waves of the advocacy campaign. In fact, a more common scenario is that a team from the lead organization or coalition is involved, with different people playing different messenger roles based on the best match of needs with capacity, skills, and resources.




Hence, the core question is whether it should be your organization or another that leads in the spokesperson role. Do you have the resources, credibility, reputation, visibility, and support to be taken seriously by the key players? Do the target audiences know and trust you? Are they willing to listen to you? You should also ask whether you have what it takes in terms of the range of communication and interpersonal skills required to successfully take on the role of messenger. If not, you will need to find a messenger from outside, either to lead the entire advocacy process or play a specific role. Beyond the considerations of messenger, building a base of support is absolutely necessary: as one commentator put it, “You must find friends somewhere in the process.”<sup>1</sup> The legitimacy that comes with the support from others and a lead advocate or organization with a solid reputation are key factors in getting doors to open throughout the advocacy process

### **Activity Thirty-Six: Identifying Advocacy Messengers Group Work (45 minutes)**

- Ask the participants to go into groups and task them to identify advocacy messengers.
- Explain to the participants that a messenger can be an organization staff member, activist, social media influencer, celebrity, politician, independent expert, local council, person with lived experience, media personality, etc.
- Guide them in reviewing the advocacy messages developed and ask them to brainstorm on which messenger should be tasked to deliver which message.
- Ask them to document and present their findings on a flip chart.

## SESSION THREE

# ADVOCACY MESSAGING CHANNELS

	<b>Session Objective</b> To help the participants understand the different mediums that can be used to channel your advocacy messages
	<b>Materials Needed</b> Flip Charts, Marker Pens, Sticky Notes, Pens, and Note Pads
	<b>Time/Duration</b> 1 hour 15 minutes

### Activity Thirty-Seven: The Medium (15 minutes)

Effective messaging relies on careful attention not only to the message itself, but also how it is transmitted – known as the ‘medium.’ It is worth considering the most effective medium to carry your message, and the most effective messenger to deliver it – all of this will be determined by the audience you are trying to reach. Examples of mediums are:

- Letter
- Phone call
- Meeting
- Press release
- TV/radio interview
- Leaflet
- Poster
- Press advertisement
- Research paper
- Conference

### Activity Thirty-Eight: Identifying the Medium Group Work (45 minutes)

- Ask the participants to go into groups and task them to review the medium platforms presented in the previous activity.
- Task them to review the policy advocacy messages they developed and map which mediums will be best suited to deliver the messages.
- Guide them in reviewing the advocacy messages developed.
- Ask them to document and present their findings on a flip chart.






MODULE

6

**PARTNERSHIP  
BUILDING  
FOR POLICY  
ADVOCACY**

## SESSION ONE

# BUILDING COALITIONS AND PARTNERSHIPS

	<b>Session Objective</b> To help the participants understand the importance of coalition building, partnerships, and alliances in policy advocacy.
	<b>Materials Needed</b> Flip Charts, Marker Pens, Sticky Notes, Pens, and Note Pads
	<b>Time/Duration</b> 1 hour 30 minutes

### Activity Thirty-Eight: Partnership Building (45 minutes)

When different organizations work in partnership, they can strengthen each other by pooling their collective resources, and they can complement each other's efforts. However, partnerships can also be challenging and potentially full of conflicts. Good planning and communication between partners can help ensure the success of a partnership.

#### Forming a Partnership

1. Involve all partners in defining the goals and objectives of the partnership and clearly communicate them to any new members. Sometimes the most challenging part of a partnership is agreeing on the goals and objectives.
2. Assess the strengths and potential contributions of all partners.
3. Define the purpose and goals of the partnership, what is expected of the partners, and how they can expect to benefit from the partnership clearly.
4. Decide how to share credit. A partnership can be slowed down when its members become too focused on who will receive publicity, credit, or blame for its work. At the very initial stage agree on procedures that will allow all members to participate and share in any public benefits that result from the activities.
5. Establish a structure. Some partnerships can run completely democratically, but usually some structure is needed. Create roles and leadership responsibilities. Provide opportunities for members to change roles over time.

## Maintaining a Partnership

- Maintain frequent communication and contact with all partners. This is essential in order to keep everyone feeling connected and informed about developments related to the project or issue.
- Become familiar with the different partner members and their positions and opinions.
- Keep meetings focused on the agenda and on schedule, make sure all voices are heard during meetings, and record ideas and action items in the minutes. Frequent, lengthy meetings are usually not the most effective or efficient way to conduct coalition business.
- Be transparent about financial issues, including the funds that each member has raised or contributed to the advocacy effort and how these funds are being used.
- Do not be afraid to tackle difficult issues. The best policy is to address them through open, positive communication, either in meetings or individually, if the issue is too sensitive.
- Stay focused. With multiple organizations involved, it can become tempting to move in many different directions. Partners should constantly remind themselves why they are together and what forms their common advocacy agenda.
- Be consistent. Since coalitions run on relationships, try to ensure the same person, or people, participate on behalf of your organization every time. Make sure those people are authorized to speak for your organization<sup>1</sup>.

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<sup>1</sup> Advocacy Training Guide: Family Care International

Table 6: Advantages and Disadvantages of Partnerships and Coalitions

Advantages and Disadvantages of Partnerships and Coalitions	
Advantages	Disadvantages
<ul style="list-style-type: none"> <li>• Enlarges your base of support; you can win together what you cannot win alone.</li> <li>• Provides safety for advocacy efforts and protection for members who may not be able to act alone.</li> <li>• Magnifies existing resources by pooling them together and by delegating work to others in the coalition.</li> <li>• Increases financial and programmatic resources for an advocacy campaign.</li> <li>• Enhances the credibility and influence of an advocacy campaign, as well as that of individual coalition members.</li> <li>• Helps develop new leadership.</li> <li>• Assists in individual and organizational networking.</li> <li>• Broadens the scope of your work.</li> </ul>	<ul style="list-style-type: none"> <li>• Distracts you from other work; can take too much time away from regular organizational tasks.</li> <li>• May require you to compromise your position on issues or tactics.</li> <li>• May require you to give in to more powerful organizations. Power is not always distributed equally among coalition members; larger or richer organizations can have more say in decisions.</li> <li>• You may not always get credit for your work. Sometimes the coalition receives recognition rather than individual members. Well-run coalitions should strive to highlight their members as often as possible.</li> <li>• If the coalition process breaks down it can harm everyone's advocacy by damaging member's credibility<sup>2</sup>.</li> </ul>

### Activity Thirty-Nine: Working in Partnership Group Work (45 minutes)




- 1 Ask participants to share any experiences they have with working in partnerships (or less formal alliances). Ask participants to share what worked well in the partnership and what aspects they found challenging. Record on flip charts. (10 minutes)
- 2 Guide the participants to map and identify the different partners that can support the advocacy goal and objectives that they identified. (10 minutes)
- 3 Ask participants if they think it would be strategic to work with all the partners identified in the advocacy campaigns that they are planning. Ask participants to elaborate why they would or would not want to. (10 minutes)
- 4 Ask participants to brainstorm actions that partners can take to ensure that a partnership runs effectively. Record on flip charts. (15 minutes)
- 5 Record and document the findings on a flip chart.

MODULE

**7**

**RESOURCE  
MOBILIZATION  
FOR POLICY  
ADVOCACY**

## FUNDRAISING AND RESOURCE MOBILIZATION FOR POLICY ADVOCACY

	<p><b>Session Objective</b></p> <p>To help the participants understand how to mobilize resources needed for policy advocacy</p>
	<p><b>Materials Needed</b></p> <p>Flip Charts, Marker Pens, Sticky Notes, Pens and Note Pads</p>
	<p><b>Time/Duration</b></p> <p>1 hour 15 minutes</p>

### Activity Forty: Resource Mobilization for Policy Advocacy (30 minutes)

Before you can finalize which activities, you will carry out, it is vital to consider what resources you have at your disposal. You are likely to have to continually consider resources as you make progress with your advocacy actions. Assessing and allocating resources before you begin advocacy work is not always possible. Indeed, part of your advocacy work may be to raise finances or resources to carry out other advocacy work. The resources you have available for advocacy work will be a mix of financial, human capacity, and common or shared knowledge. Examining each of the elements in turn will enable you to identify any gaps that need filling before you can begin a particular action.

### Resources for Policy Advocacy

- **Money:** What money do you have available for this advocacy project? Where is money coming from: your organisation, partners, and other funders?
- **People:** who will be available to work on the different aspects of the project?
- **Skills and experience:** Do the key people have the right skills and experience? If not, can you train them or get other people involved?
- **Other human resources:** Do you have access to other people who can help? Do you have volunteers to distribute leaflets, campaign supporters to write letters, community members to attend meetings?
- **Partners:** What could potential partners deliver?
- **Information and knowledge:** Have you been able to do enough research and analysis on the issue, on your objectives and solutions, and to identify your targets? If not, do you need to look again at the earlier steps in the advocacy planning cycle?

- **Relationships:** What relationships do you, your staff, volunteers, and partners have that you will be able to use? These may be among target audiences, influential, or in practical areas such as materials design or the media.
- **Reputation:** Do you or your partners have a strong reputation among the target audiences, with the public, or the media? If not, have you developed strategies and tactics to get around this? Can you recruit influential spokespeople or celebrities to speak on your behalf? Do you need to work in partnership with another, better-known organization?
- **Time:** Do you have enough time to implement your project effectively? Are there particular deadlines that you must meet? Are there external events that you wish to use, such as elections, national or local political meetings, government planning cycles, or international summits?

#### Activity Forty-One: Fundraising Strategies for Policy Advocacy (30 minutes)

The ability to mobilize resources is a valuable skill for advocacy networks. Access to financial resources expands the options available to the advocacy network and gives members the freedom to try new, creative, or even higher-risk activities than would be possible with limited funds. Successful advocates have used many different methods to obtain the resources they need for their work. Examples include the following:

- Setting membership dues for the network or alliance generally based on a sliding scale.
- Soliciting in-kind contributions.
- Holding special fundraising events such as dinners, film festivals, picnics, raffles.
- Cultivating large individual contributors.
- Seeking corporate donations.
- Selling merchandise such as crafts, artwork, t-shirts.
- Obtaining international, national, or local government grants.
- Promoting donations around a particular holiday.
- Auctioning donated goods and services.
- Selling advertising space in newsletters or other publications.

#### Activity Forty-Two: Resource Mapping for Policy Advocacy Group Work (1 hour)

- Ask participants to suggest resources that may be used in a policy advocacy campaign. Record ideas on a flip chart and have participants categorize each resource mentioned (i.e. money, manpower, or financial). Tell participants that they will be including any necessary resources for each activity in their implementation plans.
- Tell participants that when thinking about what resources are needed, they should consider how they are going to get such resources.

- Ask the group to brainstorm possible sources of support for their advocacy campaign. Record ideas on a flip chart, and offer any additional ideas and suggestions that you may have.
- Ask participants to think about the breadth of their current program activities. The members of the network may be involved in service delivery, education, training, research, community outreach, etc.
- Moderate an exercise to answer the following question: What are the sources of financial support that make program activities possible? Ask the group to identify all categories of funding they currently receive. Encourage participants to think broadly to include gifts-in-kind, discounted materials, or services, etc.
- Ask participants to think about any unexploited sources of revenue. Point out at least one advocacy network that may make their organization progress.

#### **Sample Resource Sources**

- Grants from private donors, and bilateral donor agencies such as UNAIDS
- European governments and multilateral donor agencies such as EU;
- Government contracts;
- Individual donations;
- Membership fees;
- Commercial sponsorship.






MODULE

8

**RISK ANALYSIS  
AND MITIGATION  
FOR POLICY  
ADVOCACY**

## RISK ANALYSIS

	<p><b>Session Objective</b></p> <p>To equip the participants with skills on identifying potential risks that might affect their policy advocacy work.</p>
	<p><b>Materials Needed</b></p> <p>Flip Charts, Marker Pens, Sticky Notes, Pens, and Note Pads</p>
	<p><b>Time/Duration</b></p> <p>1 hour</p>

### Activity Forty-Three: Risks Assessment in Policy Advocacy (30 minutes)

At this stage, you should have a solid idea of your way into the process, messenger, main target audiences, messages, activities, and communication tools you will use. You have looked to open, continue, feed into, or steer a discussion, and thought about how to develop it in the short to medium term, but one thing that you still need to consider is how particular audiences will respond to your advocacy campaign. A crucial first step in thinking of potential responses is to consider the strategic risks of your planned campaign.

All advocacy interventions have some type of strategic risk: there are risks that opponents might react very negatively to your evidence and proposals, which could then have an adverse effect on the future reputation and sustainability of the organization or could even be a threat to your safety or freedom under more authoritarian regimes. For example, if you are a think tank dependent for most of your work on commissions from a government or international organization, they may not appreciate it if you publicly criticize them. This should not necessarily deter you from publishing critical positions, but you need to think of the potential consequences of doing so and consider whether the risk is worth it.

Of course, if you are playing the role of whistleblower or watchdog in your advocacy efforts and are planning to hold actors accountable for their actions, the future of your organization depends on such strong, clear, evidence-based disclosure and there is no question in this case. However, for most other organizations, considering these risks is a very important step in the advocacy planning process, and the assessment in this step should be a culmination of weighing up the factors that emerge throughout your mapping and planning in all elements of the Advocacy Planning Framework.

### Activity Forty-Four: Development of Risk and Mitigation Framework Group Work (30 minutes)

1. Ask the participants to go in groups and task them to map and identify all the potential risks that might affect their policy advocacy work.
2. Guide them by telling them that a risk might be something like 'budget cuts in HIV prevention financing' or 'restrictions in CSO funding' etc. Tell them that risks might be political, social, economic, technological, legal, and environmental depending on context.
3. After mapping the potential risks, task them to also map the likelihood of the risk happening and how it might affect their policy advocacy campaign.
4. Guide them in a brainstorming session of identifying solutions or mitigations to the identified risks in case they occur during the implementation of their policy advocacy campaign.
5. Inform the participants that developing mitigation plans is an important aspect of preparing to manage potential risks that might occur during different stages in their policy advocacy campaign.
6. Ask them to document their findings using Table 14 attached in Annex 4.3 of this manual.

#### Facilitator's Notes




What are the main risks to successful project implementation? Risk analysis involves assessing the impact of each risk and the likelihood of it happening. It is useful to rate both impact and likelihood (e.g., low, medium, high). How can the high and medium risks be managed to reduce their impact and/or likelihood? Particular attention needs to be paid to any risk of harm to individuals. In many countries, media workers, internet activists, and freedom of expression defenders have faced threats, harassment, and violence in the course of their work. Might the planned advocacy provoke state repression? Are there non-state actors that pose physical dangers?

MODULE

# 9

**DEVELOPING  
A POLICY  
ADVOCACY  
ACTION PLAN/  
STRATEGY**

## UNDERSTANDING ADVOCACY STRATEGY DEVELOPMENT PROCESS

	<p><b>Session Objective</b></p> <p>To help the participants conceptualize the advocacy strategy development process.</p>
	<p><b>Materials Needed</b></p> <p>Flip Charts, Marker Pens, Sticky Notes, Pens, and Note Pads</p>
	<p><b>Time/Duration</b></p> <p>45 minutes</p>

### Activity Forty-Five: Advocacy Strategy Development Process (45 minutes)

#### What is a Strategy?

A strategy is a set of activities directed toward the accomplishment of a concrete objective. In the case of advocacy efforts, the objective is to convince or persuade the decision-maker targeted by the campaign to approve the proposal. The strategies and activities of an advocacy campaign should be as varied and creative as possible. The previous steps should also be considered, especially:

- Interests and motivations of the people identified on the power map.
- Strengths and weaknesses of the group that is organizing the campaign.
- Opportunities and threats in the political environment.

#### Advocacy Approaches and Activities

There are several approaches to advocacy, and a whole host of activities that can be used to mount advocacy work. Advocacy actions can be grouped under five broad headings:

- 1. Lobbying:** The process of trying to directly influence decision-makers, such as politicians, civil servants, or corporate chief executives.
- 2. Public campaigning:** Activities to engage the public, and to mobilize visible support for your position.
- 3. Media work:** Raising public awareness of your issues, with a view to changing public attitudes and behaviour, and encouraging support for your other advocacy actions.
- 4. Capacity building:** Increasing the knowledge of those affected by a particular issue, and increasing their skills and developing their structures to enable them to carry out their own advocacy.
- 5. Research:** Building evidence for your advocacy work.




## Facilitator's Notes

With your goals, research, and allies in place, the next step is to bring all this work together into an action plan. Action planning should be coupled with a detailed budget, and both might require revision as the programme develops and plans change. As you carry out activities, there will be internal and external changes that affect the outcomes of your work. You should ensure your action plan is flexible enough to take changes as time goes on. Periodic reviews and reflection, built into your planning process, will help you to stop and assess whether you need to adjust your plans accordingly. Even if things are likely to change, you should still begin with a detailed action plan and budget which that offers a starting point and framework from which to make those adjustments. Remember when planning, advocacy work can be slow and time consuming. You need to plan a long-term commitment and have a realistic view of timescales when doing your advocacy planning work.

You should organize your action plan. The **objectives column** this will provide an overview of your advocacy project and what you need to deliver. The **indicators column** is where you will record your intended outcomes; that will allow you to see when you have achieved successes. Record in the **review column** the dates when you will review progress. It is at these dates where you might consider how your plan and budget need to be revised. You should also take account of certain **external dates** which your activities might need to tie in with, such as international conferences or consultation dates. Good advocacy is also about getting your message, or your report, or your representative to the **right meeting** or person at the right time.

## SESSION TWO

# DEVELOPMENT OF ADVOCACY ACTION PLAN

	<p><b>Session Objective</b></p> <p>To help the participants develop a policy advocacy action framework.</p>
	<p><b>Materials Needed</b></p> <p>Flip Charts, Marker Pens, Sticky Notes, Pens, Worksheet, and Note Pads</p>
	<p><b>Time/Duration</b></p> <p>1 hour 55 minutes</p>

### Activity Forty-Six: Development of Policy Advocacy Implementation Plan (1 hour 55 minutes)

1. Ask participants to brainstorm reasons why it is important to have an implementation or action plan before starting their advocacy activities. Record comments on flip charts.
2. Distribute Table 10 below: Advocacy Implementation Plan. Acknowledge that there are many different formats used for implementation or action plans but regardless of the format used, the crucial point is to plan out the activities before implementing them.
3. Tell participants that when filling out their implementation plans, they should identify the target audience, the type of activity, which resources are needed, who will oversee the activity, and the time frame for each advocacy activity.
4. Tell participants that after planning out their advocacy activities, they should then identify preparatory activities that need to be completed before beginning their advocacy activities. Preparatory activities would include collecting data or information on the issue, meeting with potential partners, creating fact sheets, etc. Ask participants if they have any questions about the implementation plan. (10 minutes)
4. Have participants rejoin their working groups to complete their implementation plans. Attend to each group to answer questions and help participants stay on track. (60 minutes)
5. Ask each group to present part of their implementation plan, sharing their advocacy objective, target audiences, the activities, and their projected timeframes to the rest of the group. After each presentation, lead a discussion about whether the chosen activities and target audience would be effective in reaching the advocacy objective and whether the time frame is realistic. (45 minutes)

Table 7: Policy Advocacy Implementation Plan

Objective	Target Audience	Activity	Resources	Responsibility	Time Frame

MODULE




10

MONITORING  
AND  
EVALUATION  
IN POLICY  
ADVOCACY



## SESSION ONE

# DEVELOPING A MONITORING AND EVALUATION FRAMEWORK

	<b>Session Objective</b> To help the participants understand the importance of monitoring and evaluation in policy advocacy and develop an M & E plan.
	<b>Materials Needed</b> Flip Charts, Marker Pens, Sticky Notes, Pens, Worksheet, and Note Pads
	<b>Time/Duration</b> 1 hour 15 minutes

### Activity Forty-Seven: Introduction to Monitoring and Evaluation (30 minutes)

Monitoring and evaluating project activities help organizations learn from ongoing experiences and react to changes in the advocacy audience or project environment.

#### Monitoring

The purpose of monitoring is to track activities during every step of the advocacy campaign in order to ensure that activities are being implemented as planned and to compare what has been done against what was planned or expected. Monitoring advocacy activities includes collecting information on:

**Inputs:** The resources used for the implementation of an activity (e.g. materials or tools prepared, funds used, etc.). To collect information on inputs, one might review:

- Invoices
- Preparation checklists

**Outputs:** The product of an activity. Monitoring outputs helps ensure that advocacy activities, materials, and messages are in fact reaching the intended audiences. For example, if a rally is organized, outputs might be the number and type of persons attending the event and the number of leaflets or materials distributed. To collect information on outputs, monitoring activities might include a review of:

- Meeting reports
- Participant lists
- Activity reports

## Evaluation

An evaluation assesses whether the activities were effective in contributing to progress in meeting the advocacy objectives. Evaluation of advocacy activities primarily measures outcomes – the achievements or results. In an advocacy initiative, outcomes are measured at two levels – at the level of each advocacy activity, and at the level of the overall advocacy initiative or campaign.

**Outcomes from advocacy activities:** Are the advocacy activities having the desired effect on the target audiences? For example, if a sensitization meeting is held with key opinion leaders, any expressions of support or commitments made would be considered an outcome. To collect information on activity outcomes, the evaluation might include:

- Tracking statements of support or commitment.
- Tracking actions by community leaders.

**Outcomes of the advocacy campaign:** Is the advocacy campaign achieving the stated objectives? For example, if the advocacy objective is to persuade 10 school principals to introduce HIV/AIDS and sexuality education, outcomes would be the introduction of HIV/AIDS and sexuality education in 10 schools. Another possible outcome could be increased community support for HIV/AIDS and sexuality education. To collect information on project outcomes, the evaluation might include:

- Tracking statements of support or commitment.
- Reviewing budget allocations.
- Interviewing officials in charge of the programme you are supporting.<sup>3</sup>

### Activity Forty-Eight: Developing a Monitoring and Evaluation Framework (45 minutes)

- Lead a discussion on monitoring and evaluation and stress the following points:
  - When participants are planning how they will monitor and evaluate a project, they will need to identify what information they are trying to collect (called “an indicator”) and how they plan to collect it (called “means of verification”).
  - A monitoring indicator is either an input (the resource used for implementation of the activity) or an output (product of the activity).
  - An evaluation indicator can either be an activity outcome or the campaign outcome.
  - If the advocacy campaign has a limited amount of time to measure results, they may have to evaluate progress toward an objective rather than the fulfilment of that objective. (20 minutes)
- Guide the participants in groups in filling the below table using the advocacy objectives and activities identified in previous exercises.

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<sup>3</sup> Advocacy Training Guide: Family Care International

Table 8: Monitoring and Evaluation Template

Objective and Activities	Indicators	Means of Verification
Objective	Outcome	
Activity 1:	Input:	
	Output:	
	Outcomes:	
Activity 2:	Input:	
	Output:	
	Outcomes:	
Activity 3:	Input:	
	Output:	
	Outcomes:	
Activity 4:	Input:	
	Output:	
	Outcomes:	

## CONDUCTING CAPABILITY ASSESSMENTS

### Facilitator's Notes

A capability assessment helps to outline the skills, knowledge, and expertise your organization has or needs to engage in policy advocacy.

Pair the participants in groups and distribute the capability assessment worksheet attached at **Annex 4.2** in this manual. Help them through a critical thinking session in addressing the below outlined components in assessing their preparedness to engage in the following policy advocacy:

- 1. Credibility** – Legitimacy— Legitimacy, objective, trustworthy, respected.
- 2. Issue Identification** – Capacity— Capacity to do issue identification/access to sound research or data from other sources.
- 3. Research, Analysis, and Policy Development** – Understanding— Understanding of the advocacy issue identified, capacity to collect and analyze data/conduct original research on an identified advocacy issue, skills to cost out a policy proposal and identify revenue streams for implementation. If not, do we have a partner that can provide this?
- 4. Relationship with Decision-Makers** – Are— Are we respected by those with the authority to make decisions on this issue? Can we secure meetings/forums of engagement with decision-makers on this issue? If not, can we partner with other organizations/individuals who do? (*Your network is your net worth.*)
- 5. Understanding the Decision-Making Process** – Do— Do we understand how and when decisions are made? Do we have access to meetings or other formats?
- 6. External Communication** – Do we have the capacity to translate research language and policy into short, clear messages for targeted audiences? Can we identify key audiences for mobilization? Can we identify where these audiences get their information and what means of communication will be most effective to them?
- 7. Internal Communication for CSOs and Coalitions** – Do we have strong leadership in the organization for policy development and advocacy? Does everyone in the organization understand their roles and responsibilities in terms of policy development and advocacy? In terms of priorities and messaging are there mechanisms in place for staff to be aware what these are?
- 8. Ability to Form Networks and Coalitions** – Are we members of any professional networks, coalitions, or partnerships? Do we have a good relationship with others working on this issue (CSOs, CBOs, government departments and agencies, and community leaders), can we maximize the impact of our policy advocacy efforts by building/creating partnerships with other organizations and individuals who have different strengths and assets from our own?

**9. Resource Management** – Do we have enough personnel to achieve our policy advocacy goals? Can we recruit and train volunteers within the schedule of our policy and advocacy campaign? Are we managing our time well enough to achieve our advocacy goals? Are priority actions given enough time and resources? Are there other human or material resources that we can bring to this campaign?

At the end of the assessment ask yourself the following questions:

- Overall, how would you assess your organization’s readiness to conduct an effective policy advocacy campaign?
- What strengths do you bring to the effort?
- What areas might you require assistance/support possibly from other organizations?
- What areas do you think you should focus on in particular?
- Are there any internal capacity strengthening areas you require to build as part of the policy advocacy effort?

## SESSION THREE

### POST-TEST EVALUATION

Distribute the End of Training Evaluation Form to each participant, explaining that just as they will work to evaluate their advocacy campaigns as they go forward, you want their feedback to help you evaluate this training and improve on subsequent ones. Ask them to give their honest feedback on the evaluation forms and note that their feedback is anonymous. (15 minutes). The post-test evaluation form is attached in **Annex 4.1** of this manual.

# **ANNEXES & REFERENCES**

# ANNEX 1: ADDITIONAL RESOURCES AND MATERIALS

Table 9: Additional Resources and Materials

No	Document
1	Introduction to Advocacy: Training Guide, AED (1997).
2	Advocacy Building Skills for NGO leaders, CEDPA (1999)
3	Advocacy Tools and Guidelines: Promoting Policy Change, CARE International, (2001).
4	Advocating for Adolescent Reproductive Health in Sub-Saharan Africa, Advocates for Youth (1998)
5	Networking for Policy Change: An Advocacy Training Manual, The POLICY Project (1999)
6	Advocacy Guide: HIV/AIDS Prevention Among Injecting Users, World Health Organization (2004).
7	A2 Advocacy Training Manual: USAID (2007)
8	Community Advocates Training Manual: USAID (2007)
9	Advocacy in Action – A Toolkit to Support NGOs and CBOs Responding to HIV/AIDS: The International HIV/AIDS Alliance (2002)
10	An Advocacy Resource and Training Manual: The AIDS and Rights Alliance for Southern Africa (ARASA) (2008)
11	Networking for Policy Change: TB/HIV Advocacy Training Manual: World Health Organization (2007)
12	An Advocacy Guide for Policy Change Around MSM Health: The African Men for Sexual Health and Rights (AMSHer) (2015)



## ANNEX 2: SAMPLE AGENDAS

### 2.1 TRAINING AGENDA FOR CLINICAL RESEARCH CENTRES

DAY 1		
Time	Topic	Module
8:30 – 10:30 am	Introduction to Policy Advocacy	Module 1
10:30 – 11:00 am	Health Break	
11:00 – 1:00 pm	Understanding the Policy Advocacy Cycle	Module 3
1:00 – 2:00 pm	Lunch Break	
2:00 – 4:00 pm	<ul style="list-style-type: none"> <li>• Identification of Policy Advocacy Issues</li> <li>• Framing Policy Advocacy Goals and Objectives</li> </ul>	Module 3
DAY 2		
8:30 – 10:30 am	<ul style="list-style-type: none"> <li>• Identifying Policy Advocacy Target Audiences</li> <li>• Stakeholder Analysis</li> </ul>	Module 4
10:30 – 11:00 am	Health Break	
11:00 – 1:00 pm	<ul style="list-style-type: none"> <li>• Partnership and Coalition Building</li> <li>• Resource Mobilization</li> </ul>	Module 6 and 7
1:00 – 2:00 pm	Lunch Break	
2:00 – 4:00 pm	Development of Policy Advocacy Action Plan	Module 9
4:00 – 4:30 PM	Closing of Workshop	

### 2.2 TRAINING AGENDA FOR CIVIL SOCIETY ORGANIZATIONS

DAY 1		
Time	Topic	Module
8:30 – 10:30 a.m.	Introduction to Policy Advocacy	Module 1
10:30 – 11:00 a.m.	Health Break	
11:00 – 1:00 p.m.	<ul style="list-style-type: none"> <li>• Assessing the Policy Environment</li> <li>• How Policy Works</li> </ul>	Module 2
1:00 – 2:00 p.m.	Lunch Break	
2:00 – 4:00 p.m.	Understanding the Policy Advocacy Cycle	Module 3
DAY 2		
8:30 – 10:30 a.m.	Identification of Policy Advocacy Issues	Module 3
10:30 – 11:00 a.m.	Health Break	
11:00 – 1:00 p.m.	Framing of Goals and Objectives	Module 3
1:00 – 2:00 p.m.	Lunch Break	
2:00 – 4:00 p.m.	Identifying Policy Advocacy Target Audiences	Module 4
DAY 3		
8:30 – 10:30 a.m.	Resource Mobilization for Policy Advocacy	Module 7
10:30 – 11:00 a.m.	Health Break	
11:00 – 1:00 p.m.	Development of Policy Advocacy Action Plan	Module 9
1:00 – 2:00 p.m.	Lunch Break	
2:00 – 4:00 p.m.	Monitoring and Evaluation in Policy Advocacy	Module 10
4:00 – 4:30 p.m.	Closure of Workshop	

## 2.3 TRAINING FOR COMMUNITY BASED ORGANIZATIONS

Table 10: Training Agendas

DAY 1		
Time	Topic	Module
8:30 – 10:30 a.m.	Introduction to Policy Advocacy	Module 1
10:30 – 11:00 a.m.	Health Break	
11:00 – 1:00 p.m.	Policy Advocacy Steps	Module 1
1:00 – 2:00 p.m.	Lunch Break	
2:00 – 4:00 p.m.	Importance of Engaging in Policy Advocacy	Module 1
DAY 2		
8:30 – 10:30 a.m.	Assessing the Policy Environment	Module 2
10:30 – 11:00 a.m.	Health Break	
11:00 – 1:00 p.m.	<ul style="list-style-type: none"> <li>Understanding the Policy Formulation Processes</li> <li>Conducting Policy Analysis</li> </ul>	Module 2
1:00 – 2:00 p.m.	Lunch Break	
2:00 – 4:00 p.m.	Understanding the Policy Advocacy Cycle	Module 3
DAY 3		
8:30 – 10:30 a.m.	Identification of Policy Advocacy Issues	Module 3
10:30 – 11:00 a.m.	Health Break	
11:00 – 1:00 p.m.	Framing of Goals and Objectives	Module 3
1:00 – 2:00 p.m.	Lunch Break	
2:00 – 4:00 p.m.	Identification of Policy Advocacy Targets	Module 4
DAY 4		
8:30 – 10:30 a.m.	Development of Advocacy Messages	Module 5
10:30 – 11:00 a.m.	Health Break	
11:00 – 1:00 p.m.	Identifying Advocacy Messengers and Advocacy Messaging Channels	Module 5
1:00 – 2:00 p.m.	Lunch Break	
2:00 – 4:00 pm	<ul style="list-style-type: none"> <li>Partnerships And Coalition Building</li> <li>Resource Mobilization for Policy Advocacy</li> </ul>	Module 6 and 7
DAY 5		
8:30 – 10:30 a.m.	Risk Analysis and Mitigation	Module 8
10:30 – 11:00 a.m.	Health Break	
11:00 – 1:00 p.m.	Development of Policy Advocacy Action Plan	Module 9
1:00 – 2:00 p.m.	Lunch Break	
2:00 – 4:00 p.m.	Monitoring and Evaluating a Policy Advocacy Action Plan	Module 10
4:00 – 4:30 p.m.	Workshop Evaluation and Closure	

## ANNEX 3: TOOLS

### 3.1 PRE- & POST-TEST QUESTIONNAIRE

Table 12: Pre and Post Evaluation Questionnaires

SECTION A: KNOWLEDGE AND UNDERSTANDING OF ADVOCACY		
No	Questions	Responses
A1	How would you define advocacy and lobbying in your own understanding?	<ol style="list-style-type: none"> <li>1. Policy influencing</li> <li>2. Resource mobilization</li> <li>3. Delivering messages to policymakers</li> <li>4. Making the case for policy solutions</li> <li>5. Conducting public awareness campaigns</li> <li>6. Other</li> </ol>
A2	What types of advocacy are you aware of?	<ol style="list-style-type: none"> <li>1. Self-advocacy</li> <li>2. Group advocacy</li> <li>3. Non-instructed advocacy</li> <li>4. Peer advocacy</li> <li>5. Citizen advocacy</li> <li>6. Professional advocacy</li> </ol>
A3	How would you rate your understanding on how to engage in advocacy and lobbying?	<ol style="list-style-type: none"> <li>1. Strong</li> <li>2. Moderate</li> <li>3. Average</li> <li>4. Low</li> <li>5. Don't know</li> </ol>
A4	How would you rate the importance of advocacy and lobbying in your line of work?	<ol style="list-style-type: none"> <li>1. Very important</li> <li>2. Moderately important</li> <li>3. Somewhat important</li> <li>4. Not important</li> <li>5. Don't know</li> </ol>
A5	To what extent would you rate your ability to conduct research for advocacy and lobbying?	<ol style="list-style-type: none"> <li>1. Strong</li> <li>2. Moderate</li> <li>3. Average</li> <li>4. Low</li> <li>5. Don't know</li> </ol>
A6	How confident are you on engaging with duty bearers and decision-makers in advocacy and lobbying?	<ol style="list-style-type: none"> <li>1. Very confident</li> <li>2. Moderately confident</li> <li>3. Averagely confident</li> <li>4. Low</li> <li>5. Don't know</li> </ol>
A7	To what extent would you rate your capacities on how to participate and monitor public budgeting processes?	<ol style="list-style-type: none"> <li>1. Limited</li> <li>2. Moderate</li> <li>3. Good</li> <li>4. Expert</li> <li>5. None</li> </ol>

No	Questions	Responses
<b>SECTION B: ADVOCACY ISSUES, GOALS, AND OBJECTIVES</b>		
B1	What are some of the processes that you can use to identify an advocacy and lobbying issue or objective?	<ol style="list-style-type: none"> <li>1. Conducting research</li> <li>2. Holding dialogue feedback forums with communities</li> <li>3. Discussing with policymakers and duty bearers</li> <li>4. Reading project reports</li> <li>5. Other</li> </ol>
B2	To what extent would you say research and gathering feedback is important in identification of an advocacy issue or objective?	<ol style="list-style-type: none"> <li>1. Very important</li> <li>2. Moderately important</li> <li>3. Somewhat important</li> <li>4. Not important</li> <li>5. Don't know</li> </ol>
B3	To what extent is it important to develop a goal and objective before engaging in advocacy?	<ol style="list-style-type: none"> <li>1. Very important</li> <li>2. Moderately important</li> <li>3. Somewhat important</li> <li>4. Not important</li> <li>Don't know</li> </ol>
B4	Which of these statements best describes what an advocacy goal is?	<ol style="list-style-type: none"> <li>1. A goal is the overall purpose of a project.</li> <li>2. A goal is a broad statement of what you are trying to do.</li> <li>3. A goal often refers to the benefit that will be felt by those affected by an issue.</li> <li>4. A goal is long term and gives direction.</li> <li>5. A goal does not necessarily have to align itself to the organization mission.</li> <li>6. None of the above.</li> </ol>
<b>SECTION C: ADVOCACY TARGETS</b>		
C1	Which statement best describes who advocacy targets are?	<ol style="list-style-type: none"> <li>1. Duty bearers or individuals that represent institutionalized power and have the authority to make changes.</li> <li>2. People with power to respond to your demand and influence the political process in relation to your issue.</li> <li>3. An individual in a position of power who is opposing your advocacy goal.</li> <li>4. Any person who is affected by the issue you are trying to change.</li> <li>5. None of the above.</li> </ol>
C2	To what extent would you say it's important to map out your advocacy targets?	<ol style="list-style-type: none"> <li>1. Very important</li> <li>2. Moderately important</li> <li>3. Somewhat important</li> <li>4. Not important</li> <li>5. Don't know</li> </ol>

No	Questions	Responses
C3	What would be the most effective way of influencing your advocacy targets?	<ol style="list-style-type: none"> <li>1. Working in cooperation with them to find solutions</li> <li>2. Forcing an issue on to their agenda through mass mobilization</li> <li>3. Presenting evidence in the hope of getting your targets to recognize the merits of your arguments</li> <li>4. None of the above</li> </ol>
C4	Which of these statements best describes who is an advocacy ally?	<ol style="list-style-type: none"> <li>1. People with influence over decision-makers</li> <li>2. Those who share your aims and can help to influence or put pressure on the decision-makers</li> <li>3. Those who are opposed to what you want to achieve and will try to block the changes you want to see</li> <li>4. None of the above</li> </ol>
<b>SECTION D: DEVELOPMENT OF ADVOCACY MESSAGES</b>		
D1	To what extent would you rate your skills in the development of advocacy messages?	<ol style="list-style-type: none"> <li>1. Strongly agree</li> <li>2. Moderately agree</li> <li>3. Agree</li> <li>4. Do not agree</li> <li>5. Don't know</li> </ol>
D2	What statement best describes what an advocacy message is according to your understanding?	<ol style="list-style-type: none"> <li>1. Messages that communicate your advocacy goal.</li> <li>2. Messages that address what your advocacy intends to achieve.</li> <li>3. Messages that demonstrate the problem is.</li> <li>4. Messages that show why it is important to change some issues.</li> <li>5. None of the above.</li> </ol>
D3	Which of these statements best describe the qualities of a good advocacy messenger?	<ol style="list-style-type: none"> <li>1. Messengers should be known and trusted by – or will appeal to – target audiences.</li> <li>2. Messengers should demonstrate knowledge and insight into the issue.</li> <li>3. Messengers should be people who are loved by decision-makers.</li> <li>4. Messengers should be people who have connections with people in positions of power.</li> <li>5. Messengers should be a source whose opinion target audiences will value.</li> <li>6. Messengers refrain from political comments unrelated to the issue.</li> <li>7. Messengers should be people in positions of power.</li> </ol>
D4	Which of the following statements are FALSE?	<ol style="list-style-type: none"> <li>1. Advocacy messages should consider the characteristics of the intended audience.</li> <li>2. Advocacy messages should be delivered through appropriate activities.</li> <li>3. Advocacy messages should be general and uniform for all audiences.</li> <li>4. Advocacy messages should include preparing appropriate materials.</li> </ol>

No	Questions	Responses
<b>SECTION E: PARTNERSHIPS AND BUILDING NETWORKS</b>		
E1	To what extent would you say it's important to have partners and build networks for advocacy?	<ol style="list-style-type: none"> <li>1. Very important</li> <li>2. Moderately important</li> <li>3. Somewhat important</li> <li>4. Not important</li> <li>5. Don't know</li> </ol>
<b>SECTION F: ADVOCACY ACTION PLAN</b>		
F1	What is the importance of having an advocacy action plan?	<ol style="list-style-type: none"> <li>1. To guide implementation of advocacy activities</li> <li>2. To inform you on the progress of your advocacy</li> <li>3. To mobilize resources for advocacy</li> <li>4. Don't Know</li> </ol>
F2	What are some of the things that you should consider before developing an advocacy plan?	<ol style="list-style-type: none"> <li>1. Availability of community members to support advocacy efforts</li> <li>2. Availability of resources</li> <li>3. Enabling environment with policymakers</li> <li>4. Likelihood of duty bearers supporting your advocacy</li> <li>5. Don't know</li> </ol>

## 3.2 CAPABILITY ASSESSMENT WORKSHEET

Table 13: Capability Assessment Matrix

NO	ASSESSMENT AREA	LOW			HIGH	
		1	2	3	4	5
	CREDIBILITY					
	ISSUE IDENTIFICATION					
	RESEARCH, ANALYSIS, AND POLICY DEVELOPMENT					
	COMMUNITY OUTREACH AND GRASSROOTS ORGANIZING					
	RELATIONSHIPS WITH DECISION-MAKERS					
	UNDERSTANDING THE DECISION-MAKING PROCESS					
	EXTERNAL COMMUNICATION					
	INTERNAL COMMUNICATION					
	ABILITY TO FORM NETWORKS AND COALITIONS					
	RESOURCE MANAGEMENT					

### 3.3 RISK ANALYSIS AND MITIGATION FRAMEWORK

Table 14: Risk and Mitigation Framework

Risk	Likelihood (High, Low, Moderate)	Effect	Mitigation Measures

### 3.4 AUDIENCE ANALYSIS MATRIX

Table 15: Audience Analysis Matrix

Primary audience Individuals and/ or institutions with decision-making authority related to policy commitment	Level of knowledge about the issue (High, Low, Un- known)	Degree of agree- ment with policy commitment (Sup- portive, Opposed, Neutral, Unknown)	Potential benefits/ risks to the audience if they support the issue	Action that you want audience member to take
Secondary audience The individuals and/or institutions that can influence primary audience	Level of knowledge about the issue (High, Low, Unknown)	Degree of agreement with policy commitment (Supportive, Opposed, Neutral, Unknown)	Potential benefits/ risks to the audience if they support the issue	Action that you want audience member to take

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