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# FRESHWATER CONSERVATION AND WASH ADVOCACY STRATEGY WORKSHOP

**PARTICIPANT  
WORKBOOK  
APPENDIX 4**



CONSERVATION  
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the Jane Goodall Institute



The Nature  
Conservancy



WORLD  
RESOURCES  
INSTITUTE



**AFRICA BIODIVERSITY COLLABORATIVE GROUP**

# PRE-WORKSHOP ASSIGNMENT

## I. DEFINE YOUR ISSUE

Think about the focus of your work. Describe one problem you are trying to address. What are some causes of that problem that could be alleviated through changes in policies, influencing and advocacy?

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## 2. THE POLICY LANDSCAPE

List the top three relevant policies that impact the problem you identified in #1. Describe how these policies are relevant to the problem. Make sure you have a link to or hard copy of the document. (Note: Policies can include laws, standard treatment protocols, policy implementation guidance, government strategies, etc.)

NAME OF POLICY	RELEVANCE TO YOUR PROBLEM

Describe the policy development process and how you or your organization could provide input or influence the process.

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## 3. DECISION-MAKING ENTITIES AND PEOPLE

Who are the leading decision-makers with the authority or jurisdiction over policies that impact your selected issue area? What is the general level of support they have for your issue area?

DECISION-MAKERS	LEVEL OF SUPPORT (SUPPORTIVE, NEUTRAL, OPPOSED)

## 4. KEY PLAYERS AND POSSIBLE PARTNERS

List the top three major players or leading voices for your issue. Think about organizations, interest groups, NGOs, private sector entities, individuals, or coalitions that are currently working on the issue.

ORGANIZATION	RELATIONSHIP TO YOUR ORGANIZATION (IF ANY)	ACCESS TO THE ORGANIZATION



groups to put the citizen scientist concept into practice on the Sapphire River, where they captured, measured, and photographed fish from their main fishing areas. The group created a catalog of freshwater species to help prioritize habitat protection for important species and to control overfishing during breeding seasons. The catalog also serves as a reference to educate local communities on the importance of aquatic biodiversity conservation and highlights the potential of ecotourism to improve livelihoods.

These baseline assessments and catalog demonstrated the environmental health of target watershed. The Association and fishing group also launched a public educational campaign, with targeted radio and text messaging designed to build support from local government officials for proposed municipal Biodiversity and Freshwater Species Conservation legislation. The public campaign and supporting legislation promote awareness of how the health of the Sapphire Watershed depends on everyone to responsibly and sustainably use its resources. Since the Association had positive working relationships with the local government officials responsible for water and agriculture, it reached out to Ruby Municipal Council leaders and other finance, governance and fishing officials to garner support for passage of the bill. Because of the effective community engagements and scientific evidence of water quality, the bill passed into law with broad support. The law ensures the regular and systematic collection of data on a wide range of indicators, including equity watershed governance. It also includes a provision to hand over a 10-kilometer stretch of the Sapphire River to the Amber people for management and protection. It commits public funding to support a sustainable solution to watershed conservation efforts for 20 years and strengthens the ability of local governments to manage their own water resources.

**\*\* This case study is based on actual events. It has been adapted to illustrate how the 8-step process can be applied to developing advocacy strategies to improve health and conservation.**

## ADVOCACY STRATEGY ROADMAP



## Participant Worksheet: Identifying the 8-step Advocacy Process in the Sapphire Watershed Case Study

<b>STEP 1</b> Advocacy Issue, Root Cause and Evidence Base	
<b>STEP 2</b> Advocacy Goal and Objectives	
<b>STEP 3</b> Decision-Makers and Influencers	
<b>STEP 4</b> Opposition and Obstacles	
<b>STEP 5</b> Advocacy Strengths, Limitations and Partnerships	
<b>STEP 6</b> Advocacy Approaches and Activities	
<b>STEP 7</b> Advocacy Messages	
<b>STEP 8</b> Measuring Progress and Adaptive Management	

## METHODOLOGY 1: The Alignment, Interest and Influence Matrix (AIIM)<sup>1</sup>

**About:** The Outcome Mapping Approach (ROMA) tool—Alignment, Interest and Influence Matrix (AIIM)—identifies an intervention’s audiences. It also suggests a possible course of action towards those stakeholders.<sup>2</sup> AIIM can help to clarify where some of the intervention’s main policy audiences and targets stand in relation to its objectives and possible influencing approaches.

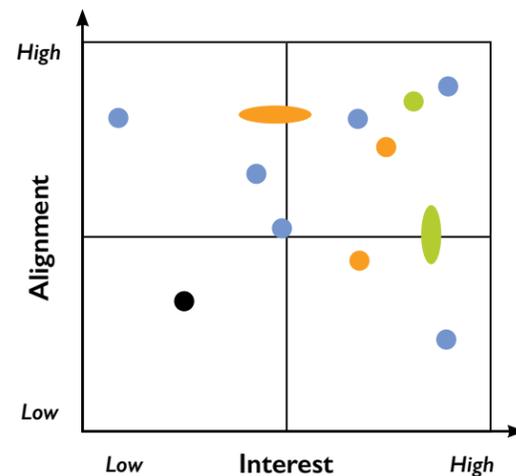
**STEP 1:** Identify and list all the actors that may affect the policy outcome. Focus your attention on the most relevant or well-known policy actors. These may be organizations, networks, groups, departments, or teams within these bodies or even individual members. The level of detail will depend in part on how specific the policy objective is.

**STEP 2:** Using a sheet of flip chart paper, draft preliminary thoughts on your stakeholders and where they might sit on a grid of alignment and interest. Use your knowledge about their current behaviors and consider attitudes, the procedures they follow, and the content of their formal and informal policy expressions.

Complete Alignment/Interest analysis for each of the stakeholders by asking prompting alignment/interest questions. Then place stakeholders into the relevant section of the matrix (see Figure 1. below). If the answers to these questions are positive, then both the level of alignment and interest would be high.

**Alignment:** Do they agree with our approach? Do they agree with our assumptions? Do they want to do the same things that we think need to be done? Are they thinking what we are thinking?

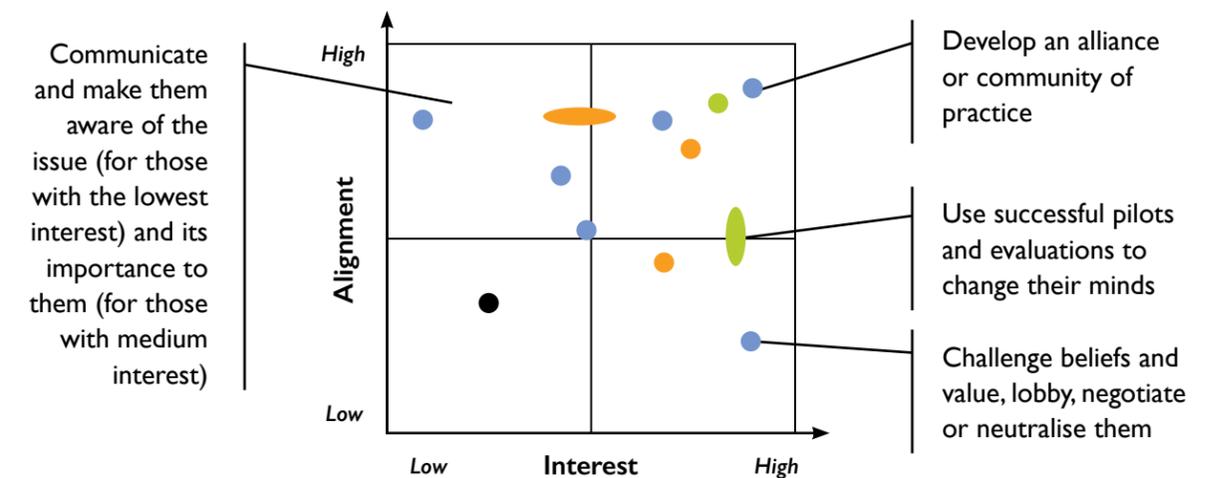
**Interest:** Are they committing time and money to this issue? Do they want something to happen (whether it is for or against what we propose)? Are they going to events on the subject? Are they publicly speaking about this?



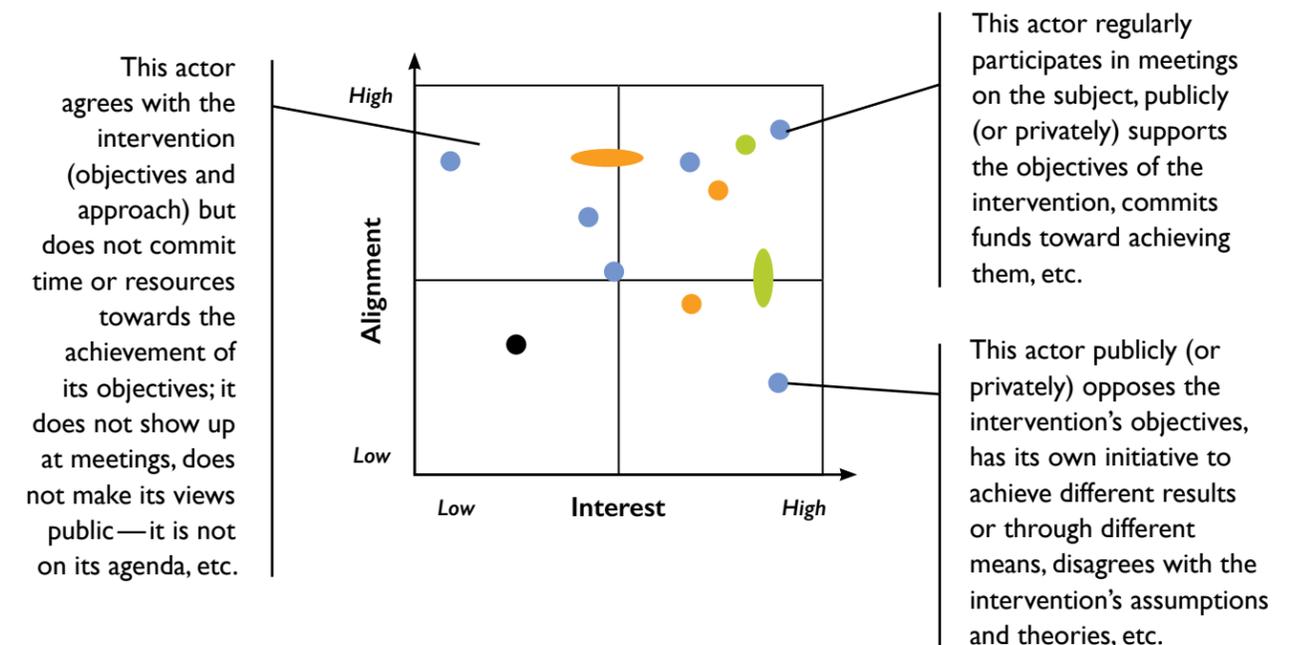
1. Adapted from The Research and Policy in Development Outcome Mapping Approach guide, the Alignment, Interest and Influence guidance notes <https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/6509.pdf>  
2. The Alignment, Interest and Influence Matrix (AIIM) guidance note, Toolkits, November 2010, Enrique Mendizabal, <https://www.odi.org/publications/5288-alignment-interest-and-influence-matrix-aiim-guidance-note>

You may use names or symbols to plot the actors; in some cases, shapes have been used to describe actors that may belong to more than one quadrant depending on a few contextual issues. When mapping them onto the matrix, consider the positions of the actors in relation to others.

Ensure that the positions are backed up by evidence—which may come from background studies, interviews, direct knowledge of the actors, observation, etc. Note the reasons for the location. **For instance, see Figure 2:**

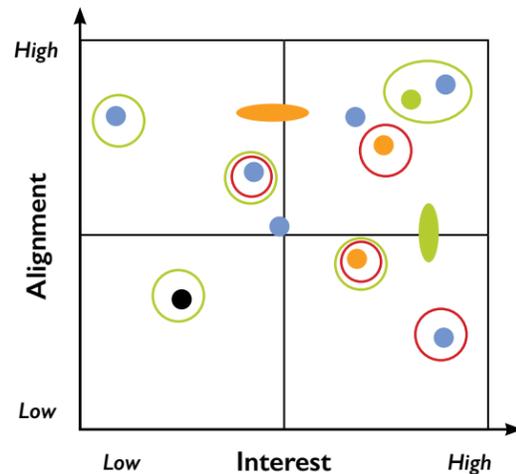


**STEP 3:** This initial analysis should provide ideas about potential key next steps (see Figure 3 for an example). In some cases, this decision-making process may be affected by the presence of too many relevant actors and will require going through the actor prioritization.



**STEP 4:** Prioritize and consider which of the actors identified are the most influential on the policy process. This additional dimension can be noted by marking the main actors with a circle or maybe a star. **See Figure 4** where red circles were used to draw this distinction. Note, in some cases, this will not be enough, and it will be necessary to identify those actors with which the organization or intervention has a direct relationship. In Figure 4 such relationship is represented by a green circle.

Figure 4 then suggests that the main effort should be focused on the two actors that are both influential and accessible to the intervention's team (marked by both green and red circles). However, you may find it entirely relevant to focus on non-influential but highly accessible actors (green circle only); or to allocate all your resources to tackle the "opposing" actor (red circle only). This tool is intended to support this type of decision-making process, which allows for the development of arguments for and against particular course of action.



**STEP 5:** Now that you have a clear understanding of the roles and positions of key stakeholders, you can develop a pathway of change for your target audiences. This step involves suggesting the trajectory that you expect and hope that each actor will follow. Each point along this context-sensitive pathway must describe a specific desired change in behavior.

### Using AIM for Monitoring and Adapting

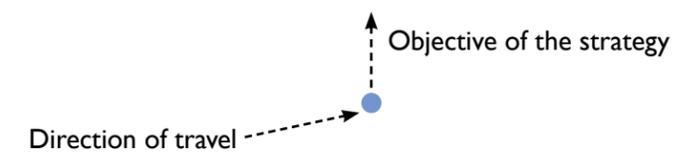
The AIM tool can also be useful as a visual tool for monitoring and evaluation purposes. Having defined the proposed direction of travel and the influencing actions for the intervention for a smaller set of priority actors, it should be possible to track progress. The original AIM can be used to develop the strategy for the entire intervention—this is made up of the individual change pathways (in green) and the proposed actions to contribute toward this change. A follow-up AIM may be developed during a review meeting and can show progress in relation to these pathways.

### Practical Tips and Advice

The AIM is designed to support decision-making, but it can also facilitate discussions and communication with internal and external audiences. Being developed over a decade ago it has been used by many organizations who have over time added innovations. Some of them are presented below:

- Always attempt to state the policy objective or policy issue being addressed before listing and plotting the actors—it will make the process more manageable and give a clear and tangible reference against which the axes can be defined.
- Always make sure that the two main axes (alignment and interest) are clearly understood by all those involved in the process.

- When plotting a particular actor, if you find it difficult to find a position that all the participants can agree with, try to break it down into smaller parts (maybe into the divisions of an organization or even individual policy-makers) and see where different teams or people can be plotted—it is possible that a donor or government department does not always behave as a whole. If this does not work, it is possible that the policy objective is still too broad and general.
- If you do not have enough evidence about an actor's current behavior, do not forget about it. Plot it outside the matrix to remind yourself and others that you may need to find out more about the actor.
- Try to add direction of travel arrows to illustrate an actor's own agency—remember that they are not static and are, just like you, trying to influence policy outcomes:



- Make sure that subsequent steps in the ROMA process follow from the AIM analysis—or if contradictory findings emerge, that you revise the matrix accordingly.
- If you use the matrix in a workshop, use post-its on a flip-chart sheet to plot the actors (they can be moved)—write the name of the actor on the front and evidence of its behavior on the back.
- In a workshop brainstorm the actors on the flip-chart and then discuss the evidence for their suggested positions rather than spending too much time listing them or talking about them in a group. Once the actors are plotted, you will be able to challenge positions or identify gaps more easily.
- Consider how some actors might be related to others. It is possible that targeting an actor that you have significant influence over (but who is not very influential on the policy process) might have an influence over another influential yet inaccessible actor.

### You may also find the following resources useful:

- The RAPID programme at ODI: <http://www.odi.org.uk/rapid>  
RAPID Toolkits: <http://www.odi.org.uk/RAPID/Tools/Toolkits/index.html>
- Evidence-Based Policy in Development Network: <http://www.ebpdn.org>
- Outcome mapping: [http://www.idrc.ca/en/ev-26586-201-1-do\\_topic.html](http://www.idrc.ca/en/ev-26586-201-1-do_topic.html) / <http://www.outcomemapping.ca>
- Strategy Maps: [http://www.idrc.ca/en/ev-28388-201-1-DO\\_TOPIC.html](http://www.idrc.ca/en/ev-28388-201-1-DO_TOPIC.html)  
(toward the bottom of the page)

## METHODOLOGY 2: Stakeholder Mapping Exercise<sup>3</sup>

**Materials:** different-colored paper, cut into circles of 3 different sizes, markers, butcher or flip-chart paper, and tape

A stakeholder map is used to show relationships and power dynamics among stakeholder groups in relation to an issue. It depicts stakeholders' relationships to one another, including the strength of relationships. This analysis tool is useful in terms of gaining knowledge of the people, organizations, and institutions that have influence on an issue, and how they interact with one another. The different-sized circles reflect the decision-making power of each stakeholder group.

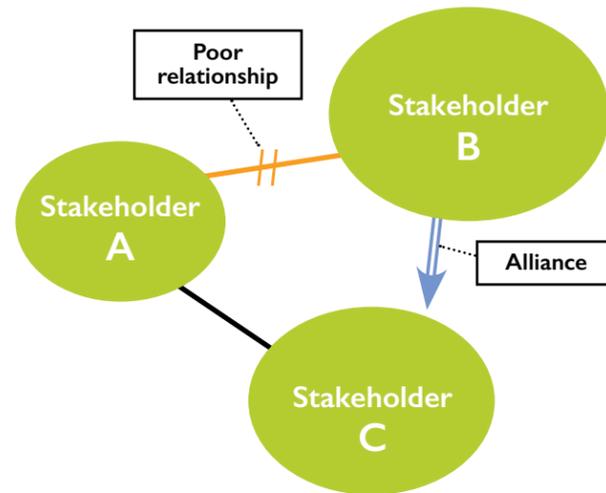
Once complete, the stakeholder map provides a visual snapshot of how stakeholders interact with one another. It can be used to help identify opportunities to influence key decision-makers or leverage existing relationships. It is also useful for identifying potential allies or opposition and for thinking about how certain groups can be empowered to contribute to advocacy strategy goals based on existing relationships and potential new connections.

### Directions:

**1.** Brainstorm a full list of the stakeholders involved in or affected by the identified advocacy issue. Start with government and expand from there. Who is involved in making the change you want to see? Who needs to be supportive of that agenda? Who are your potential allies? Think of multiple levels such as government, civil society, or perhaps local communities. Whenever possible, try to think about specific individuals, or when more research is needed, identify roles/titles of people or actor groups.

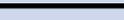
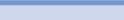
**2.** Now reflect on decision-making power. What level of influence do they have over one another and/or the advocacy issue? Who has control over resources? Who has control over information? Who makes decisions? Who cannot easily make their voices heard?

Use different-sized cut-out circles or draw circles to represent power graphically. Categorize stakeholders based on low, medium, or high decision-making power. For example, if the goal is to influence the budget available for watershed management at the national level, a high-power actor would be the Minister of Finance, a medium-power actor might be someone in his/her office who controls the minister's schedule, and a low-power actor might be an NGO group that supports the issue but has few connections with decision-makers.



**3.** Categorize stakeholders based on low, medium, or high power. Use a small circle for stakeholders with less power, a larger circle for those with medium power, and the largest circle for those who are perceived to have a lot of power.

**4.** Arrange stakeholders on a large sheet of paper (like butcher paper or a flip chart) and draw lines between the stakeholders to indicate relationships. Draw lines using this key:

	<b>Actors involved; the size of the circle denotes power</b>
	<b>Interaction or regular contact</b>
	<b>Direction of influence</b>
	<b>Alliance</b>
	<b>Poor relationship</b>
	<b>Tension</b>

Think about how stakeholders interact and are connected to one another. Identify tensions or situations where power flows in only one direction.

**TIP:** Don't forget to place your organization or project on the map! Each stakeholder has relationships that offer opportunities and potential entry points for intervention—including you!

**5.** Once you have finished the Stakeholder Map, step back and reflect on the big picture.

<sup>3</sup> Adapted from Environmental Peacebuilding Training Manual, Module 3, Stakeholder Map, Citation: Ajroud, B., Al-Zyoud, N., Cardona, L., Edmond, J., Pavitt, D. and Woomer, A. June 2017. Environmental Peacebuilding Training Manual. Arlington, VA: Conservation International.

Strengths and Limitations Assessment<sup>4</sup>

Talents, resources, skills and capacities helpful for advocacy	Individuals, materials, resources in your organization (Be specific —name people, departments, etc.)	What is the availability of this resource for advocacy? (high, medium or low)
Staff with ability to work on advocacy activities		
Staff who can be champions or influential spokespeople		
Staff relationships with decision-makers		
Staff with media contacts/relationships		
Communications and media relations expertise (for example policy briefs or letters to the editor)		
Expertise in coalition-building		
Expertise in community and social mobilization		
Web-based communications expertise		
Expertise in policy analysis and/or policy development		
Familiarity with the policy process		
Evidence to support advocacy goal/solution		
Funding (existing or strong prospect)		

**What are your three greatest strengths?**

**What are the three biggest limitations?**

4. Adapted from the "Taking Inventory of Advocacy Assets and Gaps" in the PATH Participant Workbook. PATH 2014

# ABCG FW-WASH ADVOCACY STRATEGY TEMPLATE

**Date Last Updated:**

**Updated by:**

**Original draft date:**

**Originally drafted by:**

## Section I: Advocacy Issue, Root Causes and Identifying your Evidence Base

### Definition the main problem/issue and the root causes (WHAT)

What are some causes of that problem that could be alleviated through changes in policies, influencing and advocacy?

### Main Problem or Issue:

Root causes	Is this a potential issue for advocacy?	Can the root cause be reasonably or completely addressed in 3 to 5 years?

### Do you have any evidence that the root causes are in fact an issue?

List critical programmatic or technical documents or research that could support your position on the issue. (Start with documents written by IRC or that may be planned for the coming year. Then focus on information developed by others or broad literature on the issue.)

Name of document or evidence	Type of document or evidence

## Section 2: Advocacy Goals and Objectives

### Definition of the change you want to see (WHAT)

**Goal:** This means to think outside of your organization about what change you would like to see related to your issue and root causes identified in section 1. **Objective(s):** Objectives outline the smaller incremental changes that contribute to your overarching goal.

<b>ADVOCACY GOAL = &gt;</b> (This should be a longer term change: 3–5 years)	
<b>ADVOCACY OBJECTIVES = &gt;</b> (Choose 2–4 that you think could be accomplished in a shorter time frame such as 1 year)	

## Sections 3, 4, 5: Decision-Makers and Influencers; Opposition and Obstacles; Advocacy Strengths, Limitations and Partnerships

**Decision-making entities and people; key influencers; and possible partners (WHO). This should be reviewed and updated annually.**

Who are the leading decision-makers with the authority to affect the change you have listed above for your issue? What is the general level of support they have for your issue area? Think about organizations, interest groups, NGOs, private sector entities, individuals, or coalitions that are currently working on the issue. This is used to identify 1-2 key targets for your advocacy as well as how you can influence them and who you can partner with to amplify our messaging, voice and influence.

Decision-makers are the persons who have the power to give you what you want—the people who can say yes or no to the advocacy goal and objectives. Influencers are persons or groups who can have a compelling force on the actions, opinions, or behavior of decision-makers. These groups combined are the primary targets of the advocacy strategy. Partners are critical interest groups, NGOs, private-sector entities, multilateral organizations, or coalitions that are currently working on the issue in which coordination and collaboration will further anticipated outcomes.

## DECISION-MAKERS (Targets)

Key decision-maker	Decision-maker awareness of the issue (unaware, aware but has the wrong information, aware and has correct information about your issue)	Decision-maker interests

## INFLUENCERS

Key influencer	Influencer's awareness of the issue (unaware, aware but has the wrong information, aware and has correct information about your issue)	Influencer's main interests	Which of the above decision maker do they influence?	Access to the influencer

**PARTNERS**

Possible partners	Partner level of support for the issue	Partner main interests (outside the issue)	Which of the above decision-makers and influencers do they have access to?	Current level of collaboration with this partner

Based on the above, what are the three greatest **STRENGTHS** and the three greatest **LIMITATIONS** you have on your team to accomplish your advocacy objective(s)?

Three greatest STRENGTHS	Three greatest LIMITATIONS	Possible means or partnerships to address the limitations

**Section 6: Advocacy Approaches and Activities**

The specific action the decision-making institution can take to accomplish the change and how you are going to contribute to that? Decision-makers are the persons who have the power to give you what you want—the people who can say yes or no to the advocacy goal and objectives. Influencers are persons or groups who can have a compelling force on the actions, opinions, or behavior of decision-makers. These groups combined are the primary targets of the advocacy strategy. Partners are critical interest groups, NGOs, private-sector entities, multilateral organizations, or coalitions that are currently working on the issue in which coordination and collaboration will further anticipated outcomes.

Decision-makers	What do you want them to do?	How are you going to influence them?	By when?	What are the key obstacles?







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