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OPEN UP CONTRACTING ADVOCACY *TOOLKIT*

Towards transparency & accountability in public contracting processes through people-centered and evidence-based advocacy - A Guide.

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OPEN UP CONTRACTING ADVOCACY *TOOLKIT*

Open up Contracting Advocacy Toolkit is a free resource for people who are interested in using contracts to support their work. It is a collection of tools and resources that can be used to help you understand the power of contracts and how to use them to support your work. The toolkit is designed to be used by anyone, regardless of their background or experience with contracts. It is a resource that can be used to help you understand the power of contracts and how to use them to support your work. The toolkit is designed to be used by anyone, regardless of their background or experience with contracts.

ABOUT HIVOS

Hivos was founded in 1968, inspired by humanist values. Our founders held the conviction that development work should be secular, as true cooperation presumes respect for differing beliefs. In our first ever brochure, our founders wrote that “necessary changes should spring from communities themselves – from people at the base of society.” These convictions are still reflected in our work.

We believe that human life in its many forms is valuable, and that people are filled with potential. Living a life in freedom and dignity, with respect for each other and the planet, leads to greater individual well-being and fair, vibrant societies.

TERMS OF USE

This Open up Contracting Advocacy Toolkit is licensed under **the Creative Commons Attribution-ShareAlike 4.0 International** (CC BY-SA 4.0). You are free to: Share — copy and redistribute the material in any medium or format; and Adapt — remix, transform, and build upon the material for any purpose, even commercially. This license is acceptable for Free Cultural Works. The licensor cannot revoke these freedoms as long as you follow the license terms.

The toolkit is adapted from the original toolkit “Advocacy Toolkit - People centred advocacy for a more sustainable food system” created by Hivos and the International Institute for Environment and Development (IIED).

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HOW TO USE THIS TOOLKIT

This toolkit aims to provide essential guidance and ideas to advocacy officers and civil society organizations (CSOs) wishing to mobilize and support people to jointly advocate locally, nationally or globally for more efficient, transparent and accountable public contracting processes.

By providing a shared conceptual framework, this accessible and practical toolkit aims to further harmonize and strengthen the individual and collective lobby and advocacy of the program partners and others across all focus countries, to enhance our collective ability and advocacy effectiveness. Our use of inclusive terms such as 'you', 'we', 'us' and 'our' throughout the document encourages all users — Hivos and Hivos' partners' staff, CSOs, and individuals — to use the toolkit.

It is divided into three distinct parts.

Part 1 provides a background and introduction on Hivos' Open Up Contracting program and the value of putting people first in advocacy. **Parts 2 and 3** support and guide collaborative advocacy planning processes or workshops involving advocacy officers, CSOs, government policymakers, private sector representatives, and people from the local civil society.

Part 2 also offers practical guidance to help reflect on the approach to advocacy and lobbying; advocate for open contracting; facilitate self-assessment, and map existing capacities at individual and group levels. These should help you set the groundwork for co-creating an advocacy plan.

Part 3 illustrates possible steps for planning an open contracting advocacy initiative with case studies and examples to highlight challenges and achievements from practitioners. There are also practical tools you can use in participatory workshops to pool knowledge, evidence, analysis and ideas to co-create and plan your advocacy initiative step by step. Guiding questions encourage further reflection to support an iterative and adaptive approach to advocacy. We also offer further resources at every step, to help you learn more and deepen your knowledge.

VALUES OF OPEN CONTRACTING



**BOOST INTEGRITY
& PREVENT
CORRUPTION**



**ENABLE CITIZEN
ENGAGEMENT
AND PUBLIC
OVERSIGHT**



**CREATE BETTER VALUE
FOR MONEY
AND SAVE TAXPAYER
MONEY**



**DELIVER BETTER
PUBLIC GOODS
& SERVICES**

PART 1.

ADVOCACY THAT **CONNECTS PEOPLE TO POLICY**

"Don't look at yourself as somebody who can impose change. Don't think you know better and that it's your job to tell them what to do. Rather, be someone who journeys with the communities."

- Chadwick Go Llanos,
Bantay Kita, Philippines

THE ORIGINS OF THIS ADVOCACY TOOLKIT

This advocacy toolkit was originally created by staff working on the sustainable diets theme, one of the four themes of the Citizen Agency Consortium, formed as a result of the five-year Strategic Partnership (SP) between Hivos, IIED, Article 19 and the Ministry of Foreign Affairs of the Netherlands. The Citizen Agency Consortium covers four themes: i) sustainable food systems; ii) green and inclusive energy; iii) decent work for women; and iv) transparency and accountability. Under this fourth theme lies the **Open Up Contracting program**.

The intention of this advocacy toolkit is to support colleagues and partners to explore the benefits and challenges of connecting people to policymaking - through the development of - agency (**refer to Box 1. Key Definitions, including on what we mean by agency**).

The notion of developing agency of citizens and partners is a central part of the Citizen Agency Consortium and the SP programs, which collectively recognizes that people's 'lived experience' of a problem can be a source of valuable knowledge not held by 'experts', and can improve policymaking. CSOs that build people's 'lived experiences' into their advocacy approaches, particularly in contexts where civic space is shrinking, can often build legitimacy and solution-focused agendas into their work.

In advocacy, it is also essential to appreciate the **interrelationship between change and power**, given that unequal power relations is a fundamental cause of poverty and inequality in the world.

Through the SP program's learnings, it has become clear that advocacy with - and for people - should contribute to shifting power relations in two ways:

- a) among the funding NGOs, donors and civic partners vis-à-vis one another and people in the local context (which can be uncomfortable for many organizations, civic partners and NGO donors); and
- b) in the local context, by challenging unsustainable or inequitable policies and practices in the local context. Shifting power and power sharing can affect political access, resources, and thought leadership, among other things.

PUTTING PEOPLE FIRST IN ADVOCACY

Far too often, the day-to-day realities of low-income people, particularly those most vulnerable to hardship such as informal workers, migrants or children are invisible to policymakers. This invisibility is a major factor in political exclusion and marginalisation.

Strengthening critical and representative CSOs that are rooted in the knowledge, actions and experience of people is the key to equitable and just policies and practices. We aim to therefore strengthen organizations in their capacity to advocate and influence policy and practices of market and government actors through people-led action.

‘CSOs that build people’s ‘lived experiences’ into their advocacy approaches, particularly in contexts where civic space is shrinking, can often build legitimacy and solution-focused agendas into their work.’

BOX 1. KEY DEFINITIONS

Advocacy is a continuous process by which individuals or groups aim to influence the behavior, relationships, actions, activities, agendas, policies and/or practices of target actors (i.e. policymakers, duty bearers, power holders in government and private sector) for a particular cause or goal, within political, economic and social systems.

People & Individuals in place of ‘citizens’.

Throughout this toolkit we try to avoid using the word ‘citizens’ and instead refer simply to people or individuals (or groups of people), since the notion of ‘citizens’ is exclusive to those ‘people’ who are marginalized and discriminated against for various reasons, i.e. because they are refugees with no

legal status in the host country, illegal migrants, people without passports, or (in some countries) certain minorities are excluded and can never get status as citizens, etc.

Agency is a person’s ability to exercise choice and to take action.¹ Agency should not be confused with engagement or consultation. It is one of a set of concepts of people-centred development in which people can **be agents of their own development**, to meet their needs, deal effectively with external stresses, and make progress towards achieving their aspirations.²

As such, this toolkit reflects an awareness that structural social change must include shifting the balance of power back towards people, and this work starts within our own organizations, with our own partners and the people they represent. Fostering ‘agency’ through the SP program - and specifically through opening up public contracting processes - will ensure that the civic partners and the people they represent have the power to exercise voice and a choice which is vital to the advancement of democracy, human rights and gender equality.

THE UMBRELLA DIALOGUE AND DISSENT STRATEGIC PARTNERSHIP PROGRAM

Hivos’ strategic partnership is a five-year (2016–2020) program funded under the Dutch Ministry of Foreign Affairs’ Dialogue and Dissent framework. The SP program works primarily with civil society organizations, as well as with people to connect them to business, international, national or local

¹ Klugman et al. 2014. Voice and Agency: Empowering Women and Girls for Shared Prosperity. World Bank. [HYPERLINK "https://partos.nl/fileadmin/files/Documents/10._Int._Lobby___Advocacy_endline_report.pdf"](https://partos.nl/fileadmin/files/Documents/10._Int._Lobby___Advocacy_endline_report.pdf)

² Bennett, 2002.

policy making processes, in order to influence market practices, government actors and international institutions. The program aims to build the lobbying and advocacy capacity of CSOs and the people they represent to jointly challenge practices or foster changes in policy.

An overarching priority across all four programs in the SP is expanding the shrinking space available to people and civil society actors so they can make their voices heard and participate meaningfully in decision-making. Enabling people to generate and communicate their own evidence, ideas, concerns and aspirations directly to those in power (decisionmakers, power holders, private sector) has the potential to persuade them to act and be more accountable. By lobbying and advocating from the

grassroots up, the SP program aims to bring about systemic change and address local, national and global challenges related to food, energy, transparency and women's employment.

The SP program focuses on the following two pillars:

1. Making changes in policy and practice of government and market actors, and
2. Increased lobby and advocacy capacity and legitimacy of CSOs and the people they represent in low and lower middle-income countries. In this context, advocacy is a political process by which individuals, groups or organizations aim to influence agendas, policies or practices, for a particular cause or goal, within political, economic and social systems.



HIVOS' OPEN UP CONTRACTING PROGRAM

On average, 70% of government expenditures are managed through public contracts, and it is the essential step in the delivery of real goods and services that people actually care about, such as schools, hospitals, and roads. An estimate by the Center for Global Development states that Governments around the world spend USD 9.5 trillion (15% of global GDP) in public contracting each year. It's no surprise that contracting is government's number one corruption risk.

Public contracting has been identified as the government activity most vulnerable to wastefulness, mismanagement, inefficiency, and corruption. Corruption³ has significant costs. According to the UN Office of Drugs and Crime, corruption and fraud may amount to 20–25% of procurement budgets. 57% of foreign bribery cases prosecuted under the OECD Anti-Bribery Convention involved bribes to obtain public contracts. This is wasted taxpayers money.

Open Contracting is about making the entire contracting process more open and transparent: from the planning phase, to tendering, to awarding, to contracting and to implementation.

This requires action and change of multiple stakeholders both on the supply and at the demand side. On the supply side, governments can increase the transparency of public contracting processes by publishing data and documents from each step of the public contracting cycle - from planning to tendering, to awarding, to contracting, to implementation. Having structured and comparable data, such as the Open Contracting Data Standard (OCDS), enables analysis, investigations and oversight of the contracting process. On the demand side members of the

general public, including citizens, communities, organized civil society, journalists and others can now use this data to analyze and monitor public procurement for public scrutiny and provide feedback to oversight authorities to act upon. Open contracting reforms lead to more efficient government spending, and enable a level playing field and fair competition, allowing new companies to enter the public procurement market. Together this opens new opportunities to fix problems and deliver better public goods and services at value for money.

Open Contracting is an approach to improving public procurement through three core elements:

1. Public disclosure of open data and information about the planning, procurement, and management of public contracts.
2. Participation and use of contracting data by non-state actors at appropriate points in the planning, tendering, awarding, contracting and monitoring of contracts. Participation involves appropriate communication, consultation, and collaboration to make sure increased information is used to create changes and also involves input into policy to make sure that contracting follows a set of clean, widely understood rules.
3. Accountability and redress by government agencies or contractors acting on the feedback that they receive from civil society and companies, leading to real fixes on the ground, i.e. better public goods, services, institutions or policies.

³ See a definition by Transparency International, read more www.transparency.org/what-is-corruption

The long-term goal of the program is: “People have equal access to quality public goods and services they care about, like: public education, quality health care, safe roads and clean drinking water.

To meet its goal, the program works towards four necessary institutional changes:

- Government articulates clear policies mandating proactive disclosure of documents and data related to the planning, procurement, and implementation of public contracts; and information is published in understandable, open, reusable formats;
- Government consults non-state actors in the planning of public contracts; invites non-state actors to observe and give feedback on public procurement; and acts upon third-party monitoring reports of contract performance.
- Civil society, media, and private sector organizations have the capacity to become effective intermediaries and understand and analyze open contracting information and data to give credible feedback to government and oversight authorities regarding the efficiency, integrity, competitiveness, fairness, and effectiveness of public contracting without fear of reprisals.
- Government (Oversight Authorities) acts upon public feedback to hold decision makers and contractors to account for any irregularities.

The program vision and goals builds on the assumption that “**civil society and citizens play a crucial role in a movement towards more government transparency and accountability**”.

The program follows an approach that focuses on two parallel and interlinked areas of activities and outcomes:

- **Capacity Development:** develop the capacities and legitimacy of civil society organizations and other intermediaries to transform data into actionable information for lobby and advocacy.
- **Lobby and Advocacy:** use of open contracting data to create evidence for effective lobby and

advocacy to change policies, norms and practices of public contracting process and increase the availability and quality of open contracting data.

Scope: from local to global. The program will aim for change at local, national, regional and global levels. However most activities and outcomes will be realised at the local, national and regional levels.

LOBBY AND ADVOCACY ON OPEN CONTRACTING

Our lobby & advocacy pathways (LAP) to achieving change, as stated in the program’s Theory of Change are:

- LAP1: Proactive brokering of linkages at local, national, regional to international level to foster strong accountability coalitions including civil society organisations, government and business actors.
- LAP2: Directly engaging with policy makers, opinion formers and influencers in relevant debates.
- LAP3: Creating and presenting evidence and practices of (the conditions for) data uptake and building the use case for Open Contracting Data for different stakeholders (including governments and private sector).
- LAP4: Actively integrating research insights and learnings from the target countries into the international advocacy agenda through global networks and communities of practice (such as the Open Government Partnership and Open Contracting Partnership).
- LAP5: Working in concert with other relevant international stakeholders (such as the Open Contracting Partnership).

Four primary methodological components included in this advocacy toolkit are: a theory of change, outcome harvesting, capacity assessment and development and a learning agenda.

CORE METHODOLOGICAL COMPONENTS

THEORY OF CHANGE

The complex and non-linear nature of social change processes makes outcomes of change interventions unpredictable. Therefore, strategic planning needs to be flexible but at the same time remain focusing on the goal. In this context, Hivos uses Theory of Change (ToC) as an appropriate approach to guide strategic thinking and action.

We define theories of change as ideas and hypotheses ('theories') people and organizations have about how change happens. These theories can be conscious or unconscious and are based on personal beliefs, assumptions and a necessarily limited, personal perception of reality.

A theory of change fosters critical questioning of change interventions and supports adaptive planning and management in quickly changing contexts. It contributes to the quality of strategic thinking and to personal, organizational and social learning. Next to an overarching theory of change for the Open Up Contracting program (see **Annex 2**), each program country is encouraged to elaborate its own theory of change. These should be living documents that should be revised through an annual reflection process.

OUTCOME HARVESTING

Outcome harvesting can be used to monitor advocacy progress towards archiving the Outcome Goals as defined in your ToC. This encourages

continuous reflection on outcomes (intended and unintended) and helps gauge the relevance of outcomes, attributing them to specific advocacy goals. We define advocacy outcomes as changes in the behavior, relationships, actions, activities, policies or practices of target actors.

CAPACITY ASSESSMENT AND DEVELOPMENT

Reflecting on and strengthening our existing individual and collective capacities and legitimacy for lobbying and advocacy is intrinsic to achieving our shared advocacy goals. At Hivos, we use a model to self-assess and articulate advocacy capacity needs and monitor progress. Refer to **Annex 7** for the template. This toolkit provides a tool to map advocacy capacities with CSO partners and groups of people within the context of an advocacy planning process.

LEARNINGS

Fourth, our learning agenda is informed by the core concept of dynamic learning, whereby we ask ourselves learning questions formulated on the key assumptions in our theory of change. An adaptive learning process can help to capture learnings from successes and failures as they occur. Learnings are reflected upon in regular adaptive learning and planning meetings with all partners. This allows for adaptation of strategies, approaches and activities as needed in changing contexts.



The tools in the next parts of this toolkit help us to apply the methodologies in our advocacy.

PART 2.

REFLECTING ON OUR **ADVOCACY APPROACH AND CAPACITIES**

Before we embark on co-creating an advocacy plan, it is essential to take a look at ourselves to better define what we understand by advocacy. To this end, we should critically reflect on the enabling environment for advocacy in the contexts and public contracting systems we're working in. This involves

carefully considering whether the capacity, spaces and opportunities for civil society actors to support people to engage in dialogue with decision-makers are widening or shrinking. This also entails assessing to what degree people themselves are willing to engage in advocacy.

DEFINING THE APPROACH TO FOSTERING AGENCY AND ADVOCACY

Advocacy is an ongoing process and there is no one-size-fits-all, so we must consider the balance of peoples' direct engagement and the CSO standalone work we deliver to reach the goals within the framework and timeframe of the program initiative.

In a context of global shrinking civic space, it is important that the voice of change is rooted in society and local change movements and that we continuously support CSOs to increase their capacities to empower and engage individuals. This is essential because we as CSOs are first and foremost accountable to the individuals and groups of people (e.g. collectives or communities) we work with and whose life we aim to improve.

Advocating for solutions also requires an in-depth understanding of local realities and innovations that have the potential to generate broader change. On-the-ground understanding of local realities builds relationships and credibility, and creates the propositions, solutions and evidence that underpin the lobby and advocacy work. Through broad and deep networks of partners in low and lower-middle income countries Hivos supports local CSOs to make connections with their peers regionally and internationally that add to the lobbying efforts momentum.

ADVOCACY CAN TAKE MANY FORMS, INCLUDING AS THE FOLLOWING:

- Lawsuit
- Phone calls
- Newspaper advert
- Online video
- Having coffee
- Writing a friendly email
- Inviting them to speak at a event
- A billboard
- Tweeting
- Radio shows/phone ins
- Op-eds
- Capacity building workshops
- Building coalitions
- Lobbying meetings
- Town hall meetings
- Targeted research
- Public rallies
- Research
- Protests (street or online)
- One-on-one meetings
- Public campaigns
- Meetings and events
- Policy analyses and papers
- Petitions
- Joint letter
- Leafleting

ADVOCACY VS. LOBBYING, INSIDER VS. OUTSIDER APPROACH

Depending on the nature of the challenge we are focusing on, the power dynamics at play, the broad contexts we are operating in, the resources we have at hand, and the change/s we wish to see, we will need to decide whether to take an outsider or insider approach to persuade our target decision makers.

Insider vs. Outsider approach

Advocacy strategies often adopt one of two approaches: 1) challenging and confrontational

tactics towards established interests ('outside track'); or 2) cooperative, working with institutional and business actors to help develop their capacities to act more responsibly and accountability ('inside track').

In some contexts and circumstances, lobbying and advocacy can entail a degree of risk, particularly where civic space is shrinking. So, it is essential we conduct a risk assessment before engaging in lobbying and advocacy work.

TABLE 1 THE INSIDER AND OUTSIDER APPROACHES TO ADVOCACY

| APPROACH | DESCRIPTION | ADVANTAGES AND DISADVANTAGES |
|--------------------------|---|---|
| Outsider approach | Seeking to influence individual or institutional advocacy targets through some kind of public action. This is often an openly critical and very direct approach intended to raise public awareness of an issue and exert significant pressure on decision makers or power holders. It may include public campaigning, petitions, protests and mobilizations, civil disobedience, boycotts, and the use of social media and other media work | <p>+ Advantages: Public pressure may contribute to push those we wish to influence into taking action and making the changes we wish to see, even when it provokes a hostile reaction</p> <p>- Disadvantages: We may alienate those we are trying to influence by being perceived as too extreme or critical to engage with</p> |
| Insider approach | Based on dialogue and cooperation with those we wish to influence, it generally involves making a case through evidence-based detailed research and analysis of the problem, accompanied by direct lobbying, face-to-face meetings, high-level dialogue (roundtables, conferences) with decision makers and other activities aimed at establishing ourselves as trusted and credible stakeholder to gently persuade decision makers | <p>+ Advantages: Building a positive and constructive relationship with decision makers, becoming trusted advisors. And create a win-win narrative of mutual benefit and a relationship of trust</p> <p>- Disadvantages: There is a danger to be co-opted when those in power adopt the narrative but do not change anything. There is also a danger of being seen as too close to those we are trying to influence, of no longer being regarded as independent advisors or of being co-opted by them. This perception can deteriorate your legitimacy and credibility.</p> |



We are most likely to combine the insider and outsider approaches within the life of an advocacy initiative. For example, different organizations, individuals in society or groups of people in our coalition may decide to take on different roles at different times, depending on their own agendas. This can be effective, as it will allow different actors to speak with different voices. But all coalition partners need to jointly agree and carefully manage such an approach to ensure it does not undermine the shared agenda and collective objectives. In some cases, we may start with an insider approach and switch to an outsider approach if we feel the insider approach is not bearing any fruits. Continuously monitoring and reflecting on our progress should allow us to opportunistically opt for the best approach within the given circumstances and as our initiative evolves.

TAILORED LOBBYING

It is essential we gather supplementary information to profile the key actors and stakeholders we decide to focus on. The stakeholder power analysis and user-persona methodology can also be useful in doing this. Refer to these exercises below in Tool 5.

It is worth spending some time finding out about our targets'⁴ interests and attitudes through a variety of sources, including personal experience, other people's and colleagues' experiences, websites and internet searches, social media profiles and newspaper articles. This will allow us to devise messages and lobbying strategies tailored to who they are, their political affiliation, what they know and think about our issue, their interests and personal beliefs and what they really care about, including any potential hidden agendas. The aim is basically to provide them with a trigger they connect to and care about.

ADVOCATING FOR OPEN CONTRACTING

Opening up public contracting is not something most people quickly understand. But everyone understands the value of having good roads, schools, and other public services. People understand and want their tax monies to be used appropriately and smartly. As such, advocacy to change the public procurement system is most likely not a priority agenda for most people and civil society organizations. However, they care about the results and impact of public contracting for their lives and communities. Hence, rooting advocacy in issues people care about, is the entry point for people-centered advocacy for open contracting. Conveying these messages is at the core of how one should advocate about the concept of open contracting.

OCP's five use cases can also assist you in framing your advocacy approach. Once you identify the issues you wish to tackle, refer to the use cases and the rest of this guide to determine the best entry point and advocacy approach for your context, circumstances, civil society, government and stakeholders.

FINDING ADVOCACY ENTRY POINTS WITH OCP USE CASES

These 5 use cases, as outlined by the Open Contracting Partnership (OCP), provide 'ins' to how open contracting concepts can be made accessible and 'sold' to policymakers, private sector actors, civil society, people and other stakeholders. They are: market opportunity, public integrity, public service delivery, internal efficiency and value for money. Use these use cases as angles for the advocacy approach(es). The use case you pursue will influence which part of the public contracting

cycle (1. Planning, 2. Tendering, 3. Awarding, 4. Contracting, 5. Implementation) you focus on to open up the contracting processes.

The open contracting principles and the Open Contracting Data Standard (OCDS) are useful tools to guide you and make your advocacy focused and effective.

1. Market Opportunity

For private sector companies, small and large, and for companies run by a woman, a disabled person, or by someone from other marginalized groups of society, there is a market opportunity for them when contracting data and procurement opportunities are published and shared. "It is a core principle of open contracting that information be made available at the early stages of a contracting process, including information on planned procurement, and invitations for tenders."⁵

Information about past contracts enable companies to identify future opportunities for re-contracting, thereby enabling a more competitive, inclusive and transparent marketplace and level playing field among private sector actors.⁶

Further reading:

<https://medium.com/@opencontracting/using-open-data-to-boost-business-opportunities-for-women-in-albania-473296de4f27>

2. Public Integrity

Combating corruption is certainly in the people's interest and is vital to a thriving business environment where the best service providers have fair chances to compete for contracts to provide

⁴ Targets of advocacy are those we wish to change through the advocacy efforts. Beneficiaries are those who will benefit as a result of the advocacy efforts.

⁵ http://standard.open-contracting.org/latest/en/getting_started/use_cases/

⁶ Ibid.

good quality services. "Open contracting data can be used to scrutinize procurement documents and data for 'red flags' that might indicate public monies are being misused."⁷

Monitoring fraud and corruption is done in one of 2 ways: 1) a 'micro' approach that closely examines individual procurements, and through 2) a 'systemic' approach looks for suspicious patterns, and makes links between datasets to map out networks of funding, ownership and interests.⁸

Further reading:

<http://www.bteam.org/announcements/the-business-case-for-protecting-civic-rights/>

3. Public Service Delivery

Ensuring that good quality works, services and goods are provided is perhaps one of the clearest entry points to open contracting. As said earlier, everyone understands the value of a great road or clinic. Ensuring quality public service delivering entails effectively monitoring and linking "budgets and donor data to the contracts and results. It also involves being able to verify whether results are being delivered on the ground."⁹

Further reading:

<https://www.open-contracting.org/2018/11/02/follow-the-water/>

4. Internal efficiency

OCP recently added a 5th use case for open contracting, because "internal efficiency has often been one of the main arguments mentioned by public procurement agencies for wanting to adopt open contracting. Internal efficiency helps governments to drive the best procurement practices and systems while reducing the resources needed, such as money or personnels' time. For example, a procurement agency might want to conduct tenders that attract great bidders without incurring time delays or transactional costs."¹⁰

Further reading:

<https://www.open-contracting.org/2016/07/28/prozorro-volunteer-project-led-nation-wide-procurement-reform-ukraine/>

5. Value for money

Closely linked to the other 4 use cases is 'value for money', as open contracting data can help officials and civil society to identify and achieve good value for money on the goods, works and services coming out of procurement processes. Analyzing the data for trends in prices and supplier performance, including in terms of quality and duration, are key to value for money use cases.

Further reading:

<https://medium.com/open-contracting-stories/the-deals-behind-the-meals-c4592e9466a2>

Please also refer to the section below to read Hivos partner case studies as well.

⁷ Ibid.

⁸ Ibid.

⁷ Ibid.

⁸ Ibid.

ADVOCACY TOOLS

TOOL 1 THE ADVOCACY PARTICIPATION MIX

Purpose

The advocacy participation matrix (**Figure 1**) can be a useful tool to guide initial reflection in an advocacy planning workshop setting, with a range of actors including advocacy officers, CSOs and groups of people. We developed it to help us understand the different levels of peoples' participation and control.



- | | | | |
|--|---|---|--|
| <p>1</p> <ul style="list-style-type: none"> → Advocacy agenda based on CSO program or research priorities → Advocacy planning process conducted with CSO staff only → CSO staff lead lobby engagement and advocacy | <p>2</p> <ul style="list-style-type: none"> → CSOs assess if/how individuals want to be involved in advocacy and research, & to what degree → CSOs set the advocacy agenda with some input from affected individuals → CSOs elicit peoples' views and seek to include these in advocacy planning process → CSOs take the lead in lobby and advocacy efforts conveying peoples' views | <p>3</p> <ul style="list-style-type: none"> → Individuals are willing & active participants in setting the advocacy agenda → Individuals are engaged in the advocacy planning process → Individuals are part of a coalition of the willing sometimes making their voices heard among others | <p>4</p> <ul style="list-style-type: none"> → People have control over advocacy agenda → People lead the entire advocacy planning process → People participate in collective lobbying and advocacy efforts making their voices heard |
|--|---|---|--|

Guidance

The Open Up Contracting program aspires to facilitate and support high levels of individual participation and control. In point 4, people set the agenda, lead the advocacy planning process and front lobby and advocacy efforts. In point 3, they are actively involved and work alongside CSOs in setting the advocacy agenda, contributing to planning and delivery efforts. Note that Points 3 and 4 of course require a high level of motivation in - and buy-in from - groups of people, a good level of existing people-led action and coordination and a local context that is conducive to people-driven lobby and advocacy without putting individuals at risk. This will vary per context and issue of course.

In contexts where high levels of individual participation and control are not possible or appropriate, CSOs may also opt to advocate on behalf of individuals (Point 2), giving people voices the opportunity to be heard through consultation. In settings or circumstances that are less conducive to direct action, this might also be an effective way of conveying peoples' voice while safeguarding people from potential risks resulting from direct participation in lobby and advocacy.

Point 1 in the matrix is where CSOs deliver advocacy directly with no active individual participation. This work that is still rooted in the needs of communities through contextual analysis.

Note that CSOs that have not previously explored people-driven advocacy as an advocacy concept are likely to be starting at Points 1 or 2. Both are natural places from which to take steps towards peoples' direct engagement in advocacy. This advocacy approach offers the opportunity for CSOs and individuals to share power, access, resources and voice.

Using the tool

1. Illustrate the advocacy participation matrix to participants, either by showing a slide or drawing it onto a flipchart.
2. In the group, discuss what advocacy may look like at the different entry points, or levels, and encourage participants to think of practical examples. Based on collective knowledge and experience, explore the following guiding questions in a discussion:

Whose capacity are you trying to build? NGO partners? Networks? Grassroots organizations? Journalists? Small business owners? Rural women? Others groups of people? Hivos staff? All of the above?

- What capacity-building roles do Hivos and each partner have?
- How strong and visible is the current people action within the local context? Can you think of any examples of this?
- Is the context conducive or not to people action around public contracting? Why?
- Are we responding to priorities that have been directly expressed by low-income individuals in the locality? What kind of people? What is their main identity? For example, are they women or youth, are they farmers, small business owners, media representatives?
- How are those individuals organized? Formally, informally or not at all? Are women's groups (or other relevant civil society groups) being represented and heard?
- Who is doing the advocacy? Is the advocacy approach bottom-up or top-down? Who is leading the advocacy efforts? CSOs? People and their organizations? Are women adequately represented in these groups? Are Hivos and/or its partner(s) leading? Or others?

3. Next, in smaller groups or pairs, discuss where you would place yourselves on the advocacy participation matrix, based on the advocacy work to date. Why?
4. Discuss whether you can realistically aspire to take steps forward on the matrix by supporting more direct people involvement in advocacy in the local context and in the given timeframe. If so, decide what action you should take. If not, discuss why not.
5. Back in plenary, exchange views on where you think you are on the matrix and what actions you could take to move up the matrix.
6. Record the outcomes of the discussion on a flipchart and return to these at the end of the workshop to see if you would like to make any changes.

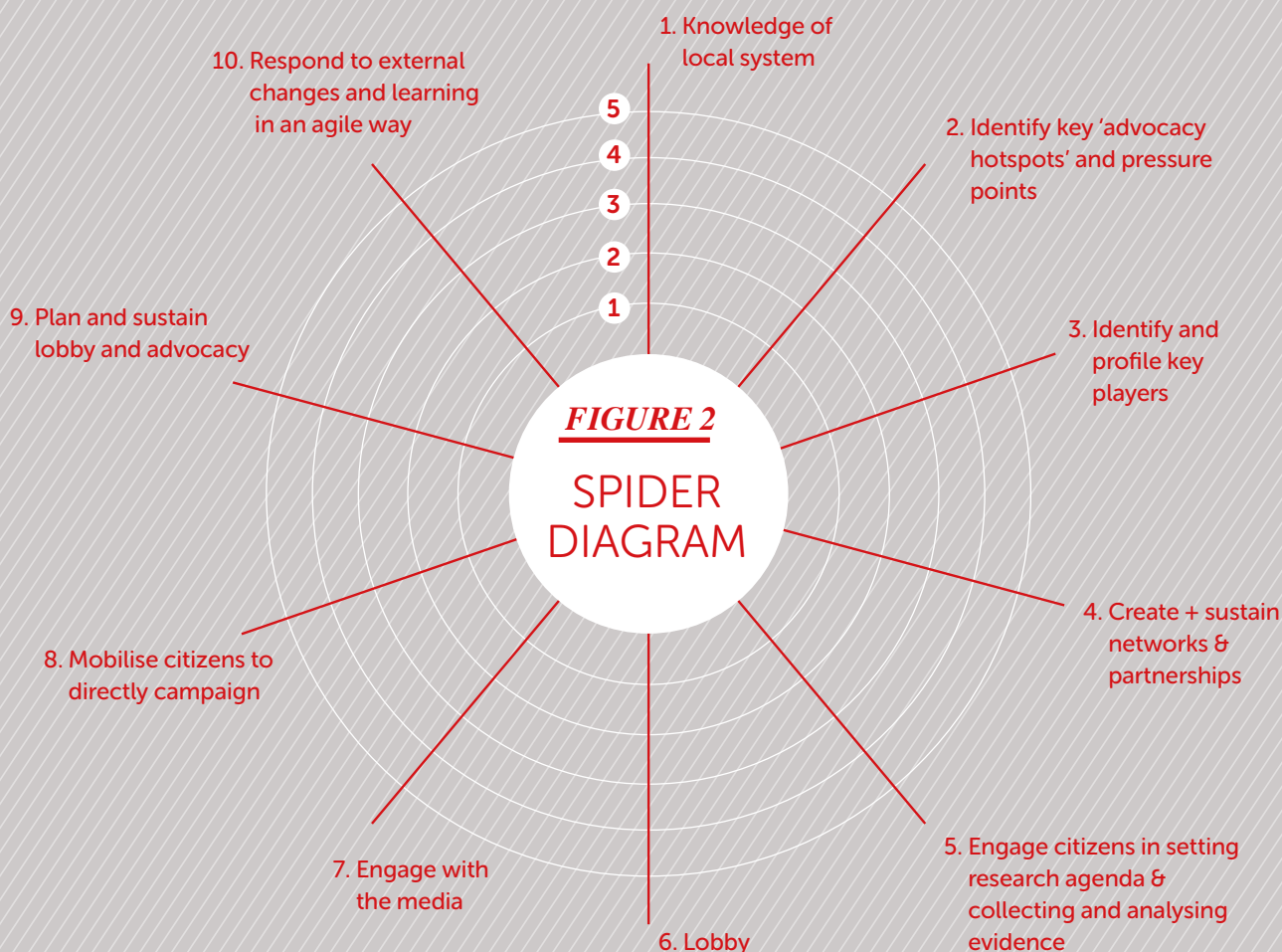
ASSESSING OUR CAPACITY TO LOBBY AND ADVOCATE

Achieving transformative and sustainable change as part of the Open Up Contracting program hinges on developing our capacity to lobby and advocate. By combining context-specific interventions with an iterative, learning-by-doing approach, we can foster an agile and responsive approach to capacity development.

Before we can start co-creating a plan to lobby and advocate together, we need to assess existing capacity or capabilities at individual, group and organizational levels. By capacity, we mean potential to perform. At the individual level, a capability assessment can help us find out who has the skills and abilities we need to engage in

different types of activities, such as research and analysis, building relationships with and lobbying external actors, or being a strong and legitimate media spokesperson. Mapping capabilities will also help us identify how we can support each other as individuals and organizations or groups by sharing the existing skills, experience and competencies, while identifying areas where we may need external support.

At the group or organizational level, we will need to assess whether we have the resources, structures and competencies we need to plan, implement and sustain the advocacy initiatives over time.



TOOL 2 SELF-ASSESSING ADVOCACY CAPABILITIES

Purpose

This simple-to-use, participatory and visual tool can help you identify the key competencies or capabilities required at different stages of the advocacy planning process. You can use it at the individual or small group level to map out existing competencies and identify capacity strengthening needs. This tool complements the model that Hivos and partners use (**Annex 7**) and is suitable for specific use in a participatory workshop setting where groups of people are directly engaged.

Guidance

See **Annex 1** for guidance on when to use this tool and an indicative mock agenda for an advocacy planning workshop.

1. This exercise is best conducted in the initial phase of an advocacy planning workshop to help you gain a better understanding of the level of knowledge, skills and competencies among participants at the individual level or within their groups/organizations.
2. You may wish to brainstorm and prioritize your own list of competencies based on what you feel is most important to plan and implement an advocacy initiative in the context and circumstances. You can do this by generating skills and competencies/capabilities on cards either individually or in pairs, sorting them into

groups and ranking them on a wall or the floor. To avoid over-complicating the exercise, you should select 8-10 competencies to score yourselves against.

3. Alternatively, you may find that clustering competencies/capabilities around the steps of the advocacy planning cycle is helpful in guiding the plenary discussion. Start by asking participants to identify up to ten competencies to prioritize.
4. Once you have identified the competencies to focus on, ask individuals or groups to score their existing capacity for each on a scale of one to five, where:
 - 1 is a non-existent or undesirable level, calling for a large amount of improvement
 - 2 is a poor level with much room for development
 - 3 is a medium level with some room for development
 - 4 is a good level with little room for development
 - 5 is an ideal level that can model competency to support others.
5. You can use a spider diagram like the one in **Figure 2** to visually record and share the outcome of the exercise. This will help you visualize areas of strength and those that need

TABLE 2 INDICATIVE LIST OF LOBBY AND ADVOCACY CAPABILITIES

| STEP | COMPETENCIES: ABILITY TO... |
|---|---|
| 1. Understanding and mapping the context | <input type="checkbox"/> Map the public contracting system <input type="checkbox"/> Link local issues to national, regional and global issues <input type="checkbox"/> Understand power dynamics in the context |
| 2. Defining what needs to change and how to change it | <input type="checkbox"/> Think strategically (think of the bigger picture) <input type="checkbox"/> Identify key advocacy hotspots and pressure points <input type="checkbox"/> Identify opportunities for policy, legislative or practice change <input type="checkbox"/> Clearly define and articulate change objectives |
| 3. Knowing who can make change happen | <input type="checkbox"/> Conduct a stakeholder analysis <input type="checkbox"/> Identify key players (decision makers, influencers and so on) <input type="checkbox"/> Profile those we need to target - using user-personas methodology. Refer to the personas exercise here: https://www.open-contracting.org/2016/08/18/use-case-guide/ and http://www.designkit.org/methods/11 . |
| 4. Fostering dialogue and a win-win narrative through multi-actor coalitions | <input type="checkbox"/> Build alliances through communication and consensus building to frame a win-win <input type="checkbox"/> Relate to and network with a wide range of actors from civil society to market actors and high-level decision makers |
| 5. Making the case | <input type="checkbox"/> Understand what type of evidence we will need to back our case <input type="checkbox"/> Understand issues of ethics and legitimacy <input type="checkbox"/> Engage individuals in society in setting the research agenda as well as collecting and analyzing evidence <input type="checkbox"/> Reach out and build alliances with other research partners Clearly communicate and disseminate the results of our research |
| 6. Conveying our messages | <input type="checkbox"/> Develop clear and effective messages <input type="checkbox"/> Lobby to change policies, norms and practices of public contracting processes and data availability <input type="checkbox"/> Mobilize and engage people in local society <input type="checkbox"/> Engage with the media (press, TV, radio) <input type="checkbox"/> Engage with social media |
| 7. Reviewing our plan and knowing if we have made a difference | <input type="checkbox"/> Become a spokesperson for the advocacy initiative <input type="checkbox"/> Develop an advocacy plan <input type="checkbox"/> Allocate enough resources for the plan <input type="checkbox"/> Implement planned activities <input type="checkbox"/> Monitor and evaluate progress on outcomes <input type="checkbox"/> Learn from monitoring <input type="checkbox"/> Adapt implementation as result of learning |

PART 3.

CO-CREATING AN ADVOCACY INITIATIVE

In this section, we offer practical guidance for supporting collaborative and participatory advocacy planning processes on behalf of, alongside or led by groups of people. These processes should help corroborate the Open Up Contracting program's existing overarching theories of change while helping to identify local advocacy priorities. They should also ensure that local advocacy initiatives are shaped and owned by groups of people and CSOs, supported by Hivos and partner staff where appropriate.

All the tools in this toolkit are designed for use by groups of individuals, partners and staff in a range of settings, such as advocacy planning workshops, multi-stakeholder dialogues or community meetings involving affected individuals. In all these settings, we should be mindful that men and women are equally represented, women and girls can express their views, and that all views meaningfully inform the advocacy planning process.

CASE STUDIES FOR ADVOCACY ON OPEN CONTRACTING

Evidence plays a central role in our advocacy work; solid research that underpins the advocacy arguments as well as the possible solutions to 'thick problems' is crucial to exert influence. Aggregating and using this evidence, such as through case studies, plays an important role in our

advocacy efforts. The case studies are success stories and/or good practices from Hivos partners, and perhaps from Hivos itself. Some are advocacy-related cases and others are simply program successes which we can use to show how opening up contracting is progressing.



CASE STUDY 1.

BOJONEGORO INSTITUTE'S POLITICAL & TECHNICAL APPROACH TO OPENING UP CONTRACTING WITH THE BOJONEGORO GOVERNMENT IN INDONESIA

Background

Until a few years ago, open contracting had been a new issue for Indonesia, specifically for Bojonegoro, a resource-rich regency in East Java. Being resource rich, there are many vested business interests in the region and particularly in the processes behind those. Hivos' partner, the Bojonegoro Institute (BI), has been working with the Bojonegoro government since approximately 2013, to advocate for budget justice, property allocation and mismanagement and corruption, among other issues.

Lobby & Advocacy with Bojonegoro government

Political approach

The initiative to open up contracting processes, increase transparency and cut down on corruption, actually originated from the Bojonegoro government itself. The issue was that the government officials did not know how to go about making it happen - which data to publish and how.

BI and Hivos have been playing important roles in advocating and raising the awareness of public officials on opening up contracting processes. For instance, BI and Hivos staff engaged with the Head of Communication and Informatics in Bojonegoro and other officials in three separate high-level meetings. The third meeting was with the Regent and his staff where the OGP plan and open contracting were discussed. Representatives of the Bojonegoro government were also invited to the open contracting international summit in order to expose the officials to knowledge and a wider network on OC. Alongside OGP, BI, Hivos and other organizations (i.e. School of Data, OCP and other national orgs) have been involved in the national and international exchange. Hivos furthermore introduced the idea of using infomediaries to help the government officials on what data could be published and how civil society and people could use it.

At the national level, OGP helped encourage the government in a top-down approach, ensuring political commitment from the national level all the way to the Bojonegoro regency. As a result, the Bojonegoro government became an active partner of BI, Hivos and OGP, among others.

Technical approach

Complementing the political commitment was the technical approach, wherein the focus was on the launch of a platform to publish contract data for the public to access. The technical approach involved capacity trainings and peer learning



sessions for the government officials to learn how and what data to publish. BI welcomed Hivos to act as a matchmaker between the officials and BI's capacity building opportunities.

After months of working together to develop the platform, to train officials and to engage with the public, in September 2017, Mr. Kusnandaka, Head of the Bojonegoro District Office of Communication and Informatics, endorsed the Open Contracting Data Standards (OCDS) open contracting (OC) platform prototype, as a means to facilitate public monitoring and feedback in the procurement process goods and services in Bojonegoro regency. The e-government ('e-go') platform is called the BOS-Bojonegoro Open System. The government furthermore issued regulations on village-level governance, and facilitated training for village leaders on effective resource planning and management and use of open data platforms. Next to the platform, a complaints mechanism for citizens to use was also implemented, to facilitate more openness around government contracting and processes.

Impacts

The government's embracing of the process and implementation of the platform is important because: 1) the tool provides space to the public to supervise processes, especially the procurement of goods and services within the scope of Bojonegoro regency; 2) it serves as a form of providing data in structured format for other purposes; 3) it reflects a real form of collaboration between all stakeholders, from Hivos, BI, OGP and partners to the intermediaries to the local authorities and to those at the national government level.

In addition to the platform, there are also now local regulations reflecting some of the open contracting principles. The fact that such data is published on a publicly accessible platform is not common in Indonesia and is quite a remarkable achievement in the country. This achievement can serve as an example to surrounding areas as well.

Resources on BI case:

<https://www.openupcontracting.org/bojonegoro-open-system-to-guarantee-transparency-and-public-data/>

TOWARDS KENYA'S FIRST BENEFICIAL OWNERSHIP REGISTRY

Background

In East Africa, scandals of grand corruption schemes in government and the private sector have shown a lack of transparency in establishing the real owners and beneficiaries of companies. Countries like Kenya were the first to commit to the Open Government Partnership (OGP) principles on anti-corruption. Specifically, at the Anti-Corruption Summit, Kenya stated they will take measures in line with its new company regulatory framework to establish public central registers of company beneficial ownership (BO) information and publish this data online, as confirmed as well in its OGP National Action Plan. To fast-track Kenya's commitment in its Open Government Partnership National Action Plan, frontrunners like INFONET Africa - a Hivos partner in the Open Up Contracting program - have been keen on accelerating the use of beneficial ownership to create an open, usable and publicly accessible beneficial ownership register. These efforts are all geared to prevent and uncover corruption in Kenya's governance institutions and the private sector.

Advocacy achievements so far

In a 'big win', INFONET Africa made progress with Kenya's National Treasury with the agreement of a MoU. The MoU will enable the institution to publish actionable information on public procurement contracts and assess the companies and individuals who get these contracts. This is a significant step towards establishing Kenya's first Beneficial Ownership Registry. A key part of the achievements so far has been the role of the INFONET CEO and his ability to leverage his working relationships to negotiate the MoU with the National Treasury. He also managed to get two key appointments - one in a presidential appointed committee that is coming up with measures to deal with issues affecting procurement in Kenya. The second is his nomination to become a Member of the ICT Board, under the department of ICT and Innovation in the Ministry of ICT. Work towards the BO Registry is still ongoing.

Resources on Kenya case study:

Kenyan Government commitment at the Anti-Corruption Summit 2016 Kenyan Government commitment in its OGP NAP

Other Hivos and partner use Cases

Strengthening and sustaining the fight against HIV and AIDS through public e-procurement - The case study of Ukraine. Makueni County adopts the Open Contracting Approach

THE ADVOCACY PLANNING CYCLE

The steps in **Figure 3** constitute the key building blocks of lobbying and advocacy that open contracting advocacy officers, CSOs and groups of people in society may wish to take together to jointly plan advocacy that promotes those people.

These steps are designed to help us co-create and implement our work together, but we acknowledge that advocacy is seldom a linear process. Groups can use the tools sequentially, going through all the steps in the cycle to create a joint advocacy plan, or individually to focus on key steps — for example, refining a stakeholder analysis or co-creating messages — to complement or revise existing plans. Groups also need to be agile enough to react and adapt to changing external circumstances and to take unforeseen opportunities as they come.

We cover each step in detail in this toolkit and include:

- **Tools** and clear guidance on how to use them in group settings
- **Questions** to encourage further reflection
- **Additional resources** for those wishing to learn more and deepen their knowledge, and
- **Representative case studies** from the Open Up Contracting program showing achievements, challenges, good practices, lessons learned, etc.

Underpinning the planning cycle is the specific approach dynamic and reflective learning and a methodology that fosters multi-stakeholder dialogue and learning.



STEP 1

UNDERSTANDING AND MAPPING THE CONTEXT

Every advocacy initiative takes place in a context that determines the conditions and opportunities for change. Within the framework of the Open Up Contracting program, it is important for us to understand and map out our respective contexts and the role and capacities of actors within them.

We also need to find out how these fit within the wider policy and governance environment, ensuring we fully understand how policies are made and implemented in our context. What processes are at play? These are all key questions to reflect on at this early planning stage.

We may have already gathered this information when developing our overarching theory of change and initial baseline or scoping studies. If this is the case, it is useful to review this information and our theory of change regularly (at least on an annual basis), to monitor change and

for contextual analysis. This will also allow us to share and discuss information with all civil society actors and individuals who are directly engaged in jointly planning advocacy initiatives to help frame and inform decisions on local priorities in Step 2.

UNDERSTANDING POWER RELATIONS

To advocate in a way that shifts power relations, or challenges unsustainable or inequitable policies and practices, we need to know how power is distributed, which forms of power and power dynamics are at play, including within our own organizations, and how the people we aim to benefit are embedded in and affected by them. Only by fully understanding this will we be able to genuinely support partners and individuals and identify opportunities and entry points for action.

BOX 2. EXPRESSIONS OF POWER

Power is not static; it is not a finite resource. It can be negative or positive and is used, shared or created by social actors and their networks in multiple ways. Power, or unequal power relations, can be viewed as a form of control of one person or group (the powerful) over others who are seen as powerless. But it can also be a positive force for personal and social change and positive action.

Power over: This most commonly recognized form of power has many negative associations for people, such as repression, force, coercion, discrimination, corruption and abuse. 'Power over' is seen as a win-lose kind of relationship.

Power with: Finding common ground among different interests and building collective strength, this form of power is based on mutual support,

solidarity and collaboration. 'Power with' multiplies individual talents and knowledge and can help build bridges across different interests to transform or reduce social conflict and promote equitable relations.

Power to: The unique potential of every person to shape his or her life and world. When based on mutual support, it opens up the possibilities of joint action or power with.

Power within: This form of power concerns a person's sense of self-worth and self-knowledge. It includes an ability to recognize individual differences while respecting others. 'Power within' is the capacity to imagine and have hope; it affirms the common human search for dignity and

It is important at this early stage in the process to reflect on the different forms power dynamics may take in our local context and how these affect the issue we are focusing on. These considerations should inform our analysis and can help us identify

the key barriers we may want to address in our advocacy work. **Table 3** lists the typical dimensions of power we should consider and shows how we can challenge them.

TABLE 3 DIMENSIONS OF POWER AND HOW TO CHALLENGE THEM

| DIMENSIONS OF POWER | EXAMPLES | WAYS OF CHALLENGING POWER |
|--|--|---|
| <p>Visible power Includes observable decision-making mechanisms and definable aspects of political power</p> | <p>Formal rules, structures, political bodies, authorities, local assemblies and forums, decision-making institutions and procedures</p> | <p>Lobbying and advocacy to influence decision making that is directly relevant to the specific program objectives.</p> |
| <p>Hidden or informal power Focuses on shaping or influencing the political agenda behind the scenes</p> | <p>People in power defending vested interests by creating barriers to participation and keeping certain issues off the agenda, or by distorting processes (i.e. grant corruption, state capture, etc.) to wield power more informally, undermining formal power structures as well</p> | <p>Strengthening peoples' voices and their capacity to speak out; overcoming barriers to participation through community mobilization; building multi-stakeholder spaces and opportunities for dialogue with a range of key actors; and using people-generated evidence, research and media communication to challenge how issues are 'framed' in our context</p> |
| <p>Invisible power The most insidious form of power influencing how individuals think about their place in the world, it shapes people's beliefs, sense of self, acceptance of the status quo and even their own superiority or inferiority</p> | <p>Principally exerted through dominating ideologies, norms, values and forms of behavior</p> | <p>Awareness raising; peer education; re-discovering and validating people's knowledge about certain issues; and popular communication to challenge dominant stereotypes and discourses.</p> |

TOOL 3: CREATING A PUBLIC CONTRACTING SYSTEM MAP

Purpose

Mapping is a participatory tool for scoping out a given public contracting system in a workshop setting with a range of actors, which also involves data mapping according to the Open Contracting Data Standard (OCDS) Standard. It is a method that allows you to leverage peoples' power and capabilities in a collaborative and gender-inclusive way.

Strengthening gender equality and inclusion is one of the key premises of the Open Up Contracting program. To align with the Hivos Gender Equality and Diversity Inclusion (GEDI) Strategy, Hivos and partners put extra emphasis on including specific target groups, such as indigenous populations and other marginalized groups, contributing towards a world where all citizens, both men and women, have equal access to resources and opportunities for development. Achieving gender equality and diversity inclusion is central to the protection of human rights, the functioning democracy, in addition to the achievement of economic growth and sustainability. To achieve this, Hivos and partners focus on specific target groups.

Guidance

1. Identify the elements that make up the public contracting system you wish to address. Write these up on cards or flipchart paper and put them on the wall with space around them. Refer to the OCDS Mapping template guidance and OECD MAPS provided here in the Additional Resources section.
2. Develop participants' understanding of the different elements of the given public contracting system and the problems within each of these. This could involve field visits.
3. Identify the actors, policies and issues in the public contracting system. These are leverage points that will help the group find solutions. Add these on sticky notes around the relevant part of the public contracting system.
4. Map the data - what data is kept where and by whom? Refer to the methodology and tools available here in multiple languages: www.open-contracting.org/data-standard/tools.
4. Carry out a power analysis, using the information in Box 2 and **Table 3**.
5. Use the information from your power analysis to find solutions for each of the problems you identified, using the leverage points you also identified. Again, use sticky notes around each of the leverage points.

Guiding questions

In planning our research, lobby and advocacy, we should find out the influences that affect these marginalized groups the most in the public contracting system and how we can help strengthen their resilience, as well as determine how to improve gender equality and inclusion in the public contracting system overall. So, when we elaborate a power analysis as part of a broader contextual analysis, it is important to consider the following questions:

- What are the gendered dimensions and impacts of power relations in our context?
- Who holds power?
- How are women, youth, elderly and other marginalized groups excluded from decision making on this issue?
- How can marginalized people be actively involved in advocacy work?
- Where are decisions made? Are they closed spaces to women? Which women?
- How can we address the barriers (social norms, attitudes/beliefs, legislation) to change?
- What strategies will we use to transform power?
- How are gender equality and diversity inclusion integrated in the process of evaluating in our work, partner organizations' work and services?

Additional resources

- OCDS Mapping Template Guidance: <https://www.open-contracting.org/resources/ocds-1-1-mapping-template-guidance/>
- OECD Methodology for Assessing Procurement Systems (MAPS): <https://www.oecd.org/gov/public-procurement/Methodology-Assessment-Procurement-System-Revised-Draft-July-2016.pdf>
- Just Associates (2006) Making change happen: power. Concepts for revisioning power for justice, equality and peace. This publication explores the different forms of power and how to challenge unequal power relations. See www.justassociates.org
- The Power Cube, developed by researchers at the UK's Institute of Development Studies, is a framework for analyzing the levels, spaces and forms of power and their inter-relationship. It also helps us explore various aspects of power and how they interact with each other. See www.powercube.net
- Womankind's Women's Rights Advocacy Toolkit has more tools for conducting a gender analysis. See www.womankind.org.uk

STEP 2

DEFINING WHAT NEEDS TO CHANGE AND HOW

A comprehensive contextual analysis can help us reflect on what needs to change to achieve the outcomes we want. Step 2 can help us further contextualize these outcomes with input from affected individuals. Advocacy and lobbying will not overcome all the barriers in the public contracting system. So, it is important to jointly identify critical hotspots for our collective advocacy and clearly define the changes we want to achieve at local level.

To better express the changes we want to see as a result of our advocacy, it is helpful to consider the types of change we may contribute to, including changes in:

Behavior: Permanent changes in the ways social actors (individuals or organizations) act or behave in relation to the issues we are advocating on.

These can be further broken down into changes in:

- Discourse, whereby the people in power change the words, narrative and concepts they use — for example, a minister mentions the need for more transparency in public contracting and reduced corruption in procurement in a speech for the first time, or
- Attitude, whereby they show a more favorable attitude towards other actors and their values and causes — for example, the Malawian government consulting with CSOs and people action groups on the revision of its procurement system.

Relationships: How social actors relate to each other or the communities we work with — for example, the Ministry of Agriculture develops a joint plan with the Ministry of Finance for a fairer, more transparent agricultural equipment procurement policy for the people.

Policy content: Actual changes in policy, law, regulations, budgets or strategies and programs that are in line with our core advocacy messages for open contracting.

Practice: A change in the way things — mostly decision-making processes — are done or better implementation of existing policies at the local level.

It is a good idea to use a brief outcome statement to articulate the change we want to see. For guidance on harvesting outcomes, refer to this presentation and guidance document. Outcome statements should describe activities and what changes took place (i.e. what actually happened).

When focusing on identifying and articulating changes in policy and practice, it might be helpful to take into consideration the policy cycle illustrated on the next page.

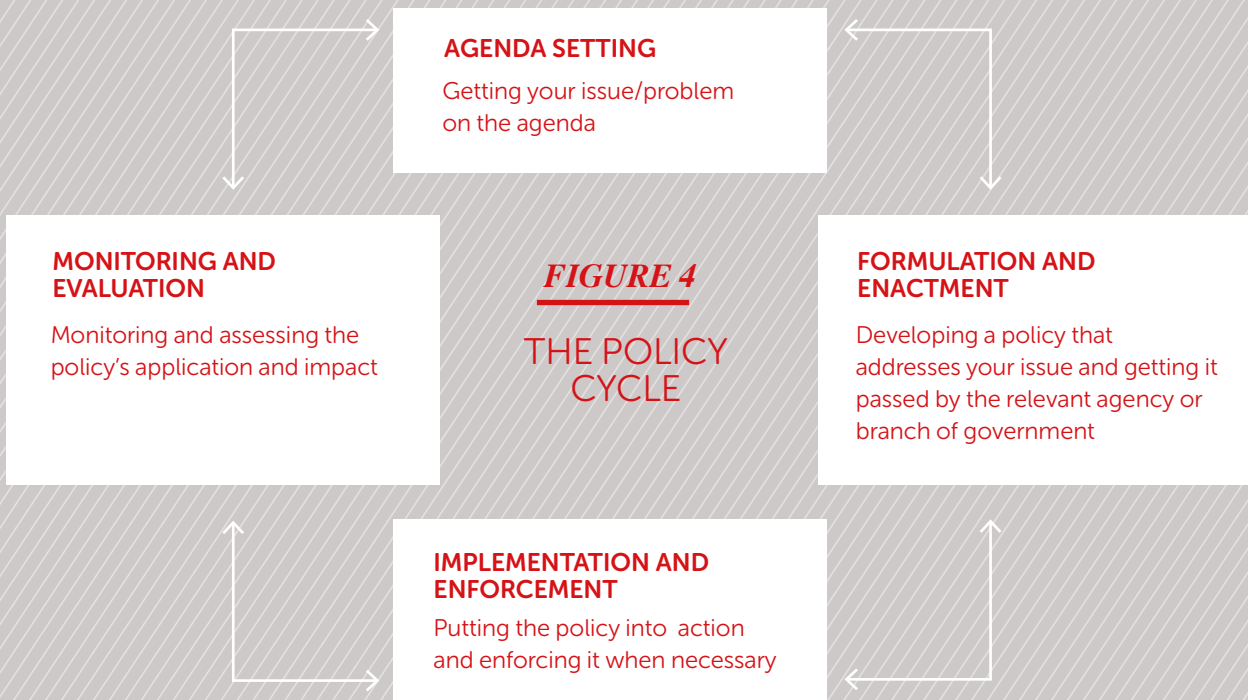


Figure 4 shows the four overlapping phases of policy-making: agenda setting; formulation and enactment; implementation and enforcement; and monitoring and evaluation. Each phase is shaped by different power dynamics and involves different players. In a democratic setting, you should be able to find out, monitor and influence decision-making at every stage. But in some circumstances,

powerful stakeholders can make it difficult for outsiders to find out what is going on until later in the process. In others, policies and laws may be decided before they are adopted by the legislature or there might not be a legislature at all. Finding out more about how this cycle works in the diverse contexts where we work will help us identify key entry points and opportunities for our advocacy

BOX 3: SOME POSSIBLE OUTCOME AREAS

Hivos and partners have developed a number of illustrations of potential overarching outcome areas that can be useful to inform our thinking in an advocacy planning workshop setting.

Outcome areas in targeted countries:

- International bodies and agencies have (further) opened up their contracting processes.
- International bodies and agencies (to be further specified) have included Open Contracting principles in their interactions with and support for their partners.
- The Dutch government has taken steps to harmonize Open Contracting related activities across the responsible agencies and is a supporter of the Open Contracting Partnership's mission.
- Governments in the selected low- and lower-

middle income countries have initiated specific (access to information) reforms to improve local conditions for efficiency, effectiveness and integrity of public contracting.

- Governments in selected countries create mechanisms for oversight authorities to respond to and act upon public feedback related to public contracting.

Intermediate outcomes

- Identified champions in government agree to engage with infomediaries on the importance of Open Contracting;
- Champions in government agree to provide contracting information to infomediaries;
- Champions in government agree to put Open Contracting on the government agenda;
- Governments engage in policy dialogue regarding public contracting;
- Governments are more transparent and publish better quality data.

TOOL 4: PROBLEM AND SOLUTION TREE

Purpose

This useful tool allows you to go deeper by focusing on a core problem that you may have identified as part of your broader analysis, further exploring its causes and consequences and turning them into solutions or positive desirable outcomes.

The tool will help you identify causes that may be amenable to an advocacy approach rather than another type of intervention. It is best used in a group setting, as this will facilitate discussion with relevant actors to co-create shared change objectives. The solutions or outcomes you find through this methodology can also help you develop communications and uncover potential benefits to persuade stakeholder groups that the desired change is in their interest.

Guidance

1. In a group, discuss and agree the central issue you want to analyze — for example, the lack of participation of a particular group in public contracting decision-making, inaccessibility of important government procurement data, and so on. Do not worry if it seems like a broad topic, because the problem tree will help you break it down. Write the problem or issue in the center of the flip chart: this becomes the trunk of the tree.
2. Next, brainstorm — as a whole group, individually or in pairs — the causes of the central problem. These will become the roots of the tree. You can record these on sticky notes or cards and add them to your tree.
3. Then, identify the consequences, which become the branches of the tree. Again, you can record them on sticky notes or cards and add them to your tree.
4. You may also decide to rank or prioritize the critical causes and consequences you wish to focus on. The key objective is to facilitate a discussion between participants, so make sure you leave enough time to complete the exercise.
5. Once you have completed your problem tree, you can then convert it into a solution tree by reformulating each of the root causes and consequences to turn these into solutions or desirable outcomes.

Note: Perhaps groups discover the central issue they want to change is different than the original issue they started with. That is perfectly ok and underlines the need to be flexible and willing to adapt to the core issue(s), if or when they change.

Guiding questions

When formulating outcome statements, we should keep the following in mind:

- Have we influenced a social actor not to take action? Has this prevented something undesirable from happening? For example, have we influenced a local authority not to change a policy that may undermine our cause? These can also be significant outcomes, which we can formulate as a social actor changing its expected behavior.
- If we are working in concert with others, have our activities contributed indirectly and partially to one or more outcomes? If so, have we focused on our role in contributing to make change happen and not on demonstrating attribution to a given outcome?
- Is there an outcome we can attribute? Remember that outcomes often take time to emerge and some activities may never lead to one.
- Are there any unexpected outcomes? If so, have we included them? Unintended outcomes contribute to our theory of change or advocacy objectives and our activities contribute to them, even if we did not plan for them to happen.
- Are our outcomes part of a larger process of change? Remember to describe all such outcomes separately, as this allows us to reveal the steps of the whole process of change that we are influencing.
- Are there any negative outcomes? Have the changes undermined rather than enhanced progress towards realizing our theory of change or accomplishing our advocacy objective? We need to share these negative outcomes when the damage caused or what we learned are relevant.

Resources

- Fowler, A and Biekart, K (2011) Civic driven change: a narrative to bring politics back into civil society discourse.
See <https://repub.eur.nl/pub/30559/>

STEP 3

KNOWING WHO CAN MAKE CHANGE HAPPEN

Understanding how different stakeholders relate to the issue we are seeking to change is crucial to working out who to target with our lobbying and advocacy and how to move them to action. A stakeholder analysis helps to map out who has the power to make decisions that affect the issue we wish to address? Who are the stakeholders who can either support or block your efforts? What are their interests? Who has power over whom? A stakeholder analysis can help us identify:

- Key advocacy targets (also referred to as social actors): individuals, groups or organizations who have the power to make the change/s we wish to achieve
- Potential change agents: those who have direct influence over our advocacy targets or who can influence our desired outcome — for example, leading & influential journalists or respected businesspeople.

- Potential allies: individuals and/or organizations we can partner with in a coalition of the willing, and
- Potential opponents: those who may wish to oppose our lobbying and advocacy efforts, such as large private sector companies or government policymakers.

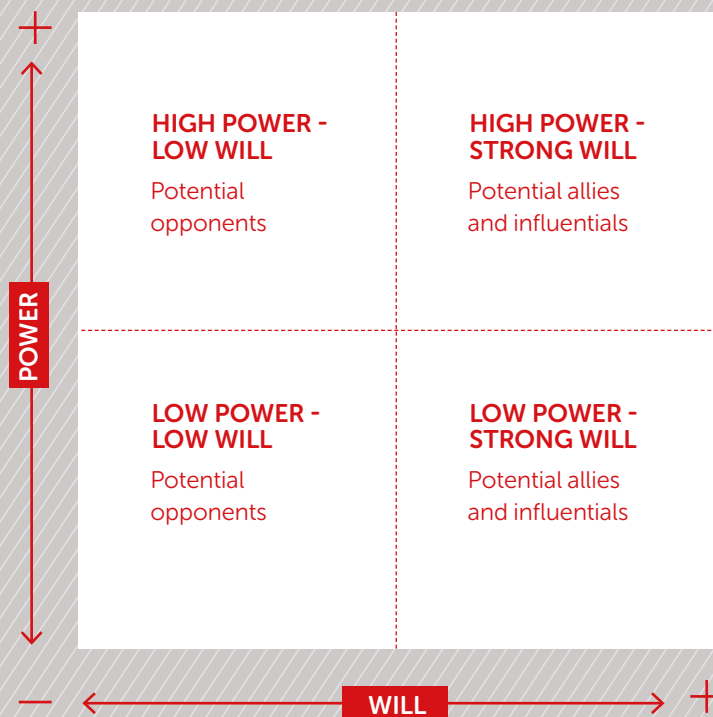
TOOL 5: THE POWER-WILL MATRIX AND USER PERSONAS

Purpose

The power-will matrix (**Figure 5**) is a very simple participatory, visual group exercise will help you map out stakeholders on a matrix according to their will and power to bring about change on any given issue. Go deeper into the stakeholder personas to tailor your advocacy approaches by using the user persona exercise explained below.

FIGURE 5

POWER-WILL MATRIX



It is important at this early stage in the process to reflect on the different forms power dynamics may take in our local context and how these affect the issue we are focusing on. These considerations should inform our analysis and can help us identify

the key barriers we may want to address in our advocacy work. **Table 3** lists the typical dimensions of power we should consider and shows how we can challenge them.

TABLE 4 TYPES OF STAKEHOLDERS

GOVERNMENT

- Procurement policymakers
- Procurement authorities
- Oversight bodies (auditors, comptrollers, prosecutors)
- Procuring entities/practitioners
- Project managers/sector specialists
- Systems and IT staff

PRIVATE SECTOR

- Bidders
- Subcontractors
- Investors/Creditors
- Professional/industry associations or chambers of commerce
- Software developers, Systems providers, and aggregators who provide value added services to

CIVIL SOCIETY & MEDIA

- Transparency & accountability NGOs
- Open data advocates
- Procurement monitoring groups
- Community based organizations or service delivery monitors
- Academics
- Journalists

Source: An OCP - Advocating for Open Contracting presentation by Hera Hussain



USER PERSONA EXERCISE

The Process

1. Separate people into small groups (2~4 per group)
2. Explain the persona template
3. Give each group 15 to 20 minutes to fill out the template
4. Let groups present their personas.
5. Compare different personas, discuss patterns, resolve conflicts
6. Let the whole group do it again and collectively build one persona

Sample User Persona Template

- * Profile picture
- * Name
- * Age
- * Role
- * Organization
- * Background / Education
- * What is her professional interest / motivation
- * What does she need to do her work?
- * What can she do for or against you?
- * How do you communicate / engage with her?
- * Relationship with other organizations

Guiding questions

The following questions can help with profiling main actors:

To find out what they know about the issue we want to focus on:

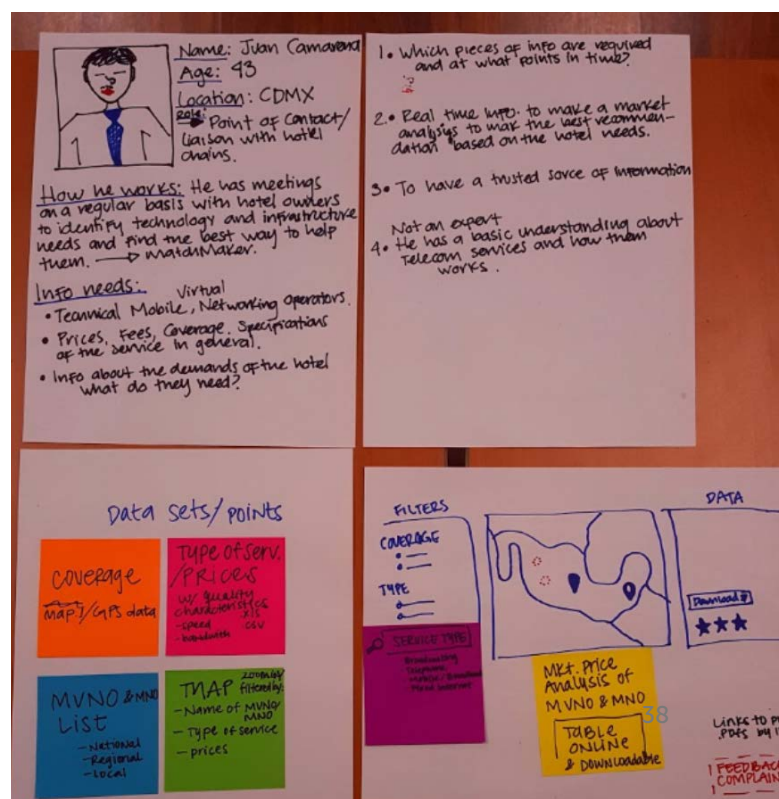
- Are they aware of our issue?
- If so, how much do they know about it?
- Have they got access to factual information and people-generated evidence and research on the issue?
- Have we shared any such information and evidence with them?

To understand their current attitude towards our issue:

- Do they support our issue or not?
- Who and/or what concerns shape their current attitude towards our issue?
- Is this attitude towards our issue shaped by who they are and what they stand for — in other words, by their personal beliefs, religion or politics?
- What or who might persuade them to change their attitude or be more open to our issue?

Guidance

1. Reproduce the power-will matrix (**Figure 5**) on a flipchart.
2. Brainstorm all the stakeholders. These are all those actors (it is best to focus on individuals rather than groups or organizations) who can affect or who will be affected by the change you are seeking. You should draw on the analysis from Steps 1 and 2 of the advocacy planning cycle to inform this mapping of stakeholders. Write the name of each individual stakeholder on a separate card or sticky note.
3. Place the cards on the matrix based on: how much power you think they have to achieve change on your issue and how willing you think they are to bring about the change you want to see. Try to back the matrix position you give to each actor with evidence — research, conversations, interviews, observation and so on — and note your reasons for placing actors in a particular quadrant, such as political orientation, personal beliefs, interests or background.
4. The quadrants you place each actor in will help you map out potential targets, change agents (those who can/will likely bring about change), allies and opponents. Those in the two upper quadrants are the most powerful and should be your main targets. Those on the bottom right are change agents and influentials who are on side and, despite having little visible power, may be able to help you leverage change in key targets.



Prioritize the key actors you will focus your efforts on. Circle those you consider to be main actors.

These could include opinion formers, celebrities, well-known chefs, spouses or relatives of top politicians. Those on the left-hand side of the matrix are your potential opponents; you should take action to prevent them from jeopardizing your advocacy. You may want to discuss options for neutralizing or diluting their power, such as isolating them, under-cutting their support or generating critical news stories.

5. Prioritize the key actors you will focus your efforts on. Circle those you consider to be main actors.
6. Once you have prioritized, you can start discussing what changes in behavior (or stance) you would like to see in the main actors in relation to your issue and what action you would like them to take by developing user personas of the stakeholders to dive deeper into the stakeholders and how their relationship to the issue(s).

You can show these trajectories of change visually on the matrix (as shown with the red arrows in **Figure 5**) — for example, raising awareness of your issue among powerful actors to persuade them to take positive action. You can then break each trajectory of change into progressive steps that you would:

- **Expect to see:** short-term behavior changes confirming that the actor is moving in the right direction and responding to your advocacy efforts — for example, speaking out more on your issue or participating in relevant meetings
- **Like to see:** medium to longer-term results of progressive change brought about by your advocacy and other influences — for example, approaching others to positively influence them on your issue, and

- **Love to see:** very long-term changes that extend beyond the life of your advocacy initiative and result from a continuous process of change driven by forces beyond your control — for example, lasting change in invisible power relations pertaining to norms and values on your issue.

7. You can use a stakeholder outcomes journal (**Annex 3**) to record progress on any expected and unexpected changes in key targets' attitudes and behavior. These observations can later feed into the annual outcome harvesting process (Step 7).

Additional Resources

- Stakeholder analysis tool. See www.odi.org/publications
- Start, D and Hovland, I (2004) Tools for policy impact: a handbook for researchers. See www.odi.org/publications (includes explanation of other relevant tools, such as force field analysis).
- Ramalingam, B (2006) Tools for knowledge and learning: a guide for development and humanitarian organizations. See www.odi.org/publications (includes social network analysis and more).
- User persona methodology for profiling actors and stakeholders: <https://www.open-contracting.org/2016/08/18/use-case-guide/> and <http://www.designkit.org/methods/11>.

STEP 4

FOSTERING MULTI-STAKEHOLDER DIALOGUES

We cannot change the world by ourselves. Advocacy results are stronger and more durable if we work with other stakeholders, such as governments, businesses, civil society organizations and individuals. Together, we are able to transform ideas into solutions. More specifically, we have more convening power, a greater chance to impact high level discussions, are better equipped to make a stance, have more and better examples of good practices, and have a bigger, widespread network and audience. Furthermore, coalition partners might have access to specific processes and open doors that would have stayed closed for us.

Creating a multi-stakeholder dialogue therefore entails bringing together a diverse set of stakeholders — from low-income consumers, farmers, producers, processors, vendors and traders to private sector, market and political actors who do not normally come into contact with each other — in a safe space to address pressing issues in the public contracting system. By inviting all participants to speak and listen with an open mind to differing voices and perspectives, a multi-stakeholder dialogue gives actors who are seldom listened to, a voice, enhancing stakeholders' collective understanding of the public contracting system and allowing them to reflect on their own role(s).

It's important to note that multi-stakeholder dialogues are not free from power dynamics. Also, having a multi-stakeholder dialogue does not mean that the marginalized are automatically involved. It is an opportunity to do so and requires extra attention and intention to ensure marginalized people or groups are indeed included. Multi stakeholder processes are not free of power dynamics.

Helpful note: Sometimes Hivos refers to this process as a 'change lab', which simply refers to a well-facilitated process that brings together different stakeholders to co-create local solutions to problems.

Through multi-stakeholder dialogues, we aim to catalyze not just tangible, immediate change — such as new or adapted policies or new investments — but also longer-term transformational outcomes such as strengthening capacities, relationships and trust between actors. The dialogues can foster change and help generate new ideas and the opportunities to test these on the ground.

Convening a multi-stakeholder dialogue
We can convene a multi-stakeholder dialogue at any stage of the planning cycle, including:

- At the start (Step 1), to produce a contextual analysis
- Once we have gathered comprehensive information on the public contracting system and had time to think about the changes we would like to see (Step 2), and
- Once we have thought about who has the power to make these changes happen (Step 3).

That said, convening a dialogue after Step 3 means we are better informed about who to invite into the safe space to further analyze barriers and generate ideas and solutions. However, engaging relevant actors early can also lead to a deeper sense of ownership of the process by actors involved.

In engaging with government and private sector actors specifically, we:

- Work with them in a flexible manner, in terms of adapting to their way of working, communication styles, 'dance their dance'.

- Wear a suit if they wear a suit, for example.
- Explore a range of entry points: engage not only with the top-level
 - Seek champions who are willing to take the extra mile
 - Make sure we both know our responsibility and added value
 - Formalize our relationship where possible and relevant

The dialogues can also become regular multi-stakeholder forums aimed at maintaining momentum and dialogue between all actors to sustain longer-term system change in opening up public contracting.

Additional Resources

OGP's Handbook on Designing and Managing an OGP Multistakeholder Forum: <http://www.opengovpartnership.org/sites/default/files/Multistakeholder%20Forum%20Handbook.pdf>

Musings on Multi Actor Initiatives by Wenny Ho and others at Hivos
<https://drive.google.com/drive/folders/1cRjHRO6XvXwBLlh0H32YU5N9SIWt3ZkH>

Multi Actor Initiatives as a Strategy in Hivos by Wenny Ho at Hivos
https://docs.google.com/document/d/1zZ0W5t_DMwhWJAzmHC6i2j4_oSW2ClDqM8iybXPNorA/edit

We cannot change the world by ourselves. Advocacy results are stronger and more durable if we work with other stakeholders, such as governments, businesses, civil society organizations and individuals. Together, we are able to transform ideas into solutions.

STEP 5

MAKING THE CASE

After completing a contextual analysis and possibly convening a multi-stakeholder dialogue, agreeing our change objectives and identifying key advocacy targets and audiences, we will be in a better position to reflect on what we need to make our case. In Step 5, we focus on the importance of evidence coming from both people and data to make our advocacy case on opening up public contracting processes. We also reflect on the significance of co-creating clear and impactful messages to present our arguments.

USING EVIDENCE TO MAKE OUR CASE

“Who controls data, and through what paths, can shift power dynamics, and change levels of influence among actors competing for resources, influence and political power.”

- Taylor and Koenig 2014

Far too often, poor people’s views and realities are invisible to policymakers. This is a significant factor in their political exclusion and marginalization and frequently results in mismatches between policy and local priorities. But a lack of visible evidence does not stop decisionmakers making assumptions about poor people’s priorities, knowledge and capabilities. Experts frequently make judgements about people and even well-meaning CSOs can base their interventions on broad assumptions about the realities of those they often refer to as beneficiaries,

perhaps informed by research conducted and analyzed by outsiders.

To counteract this tendency, we should prioritize the use of evidence (including data) generated and/or analyzed by the individuals, groups and communities we work with. This can enable people and civil society actors to be more effective in lobbying and advocacy around their own priorities and less dependent on others setting the agenda. By generating the evidence, people can also control the use of data, which is eminently political and gives them the ability to shift power dynamics.

BOX 4. THE POWER OF EVIDENCE COMING FROM PEOPLE AND DATA

Participating in evidence generation to support advocacy can help people increase their:

Engagement and effectiveness: Strengthen their role and voice in planning and resource allocation by using policymakers' and technocrats' own language, such as in the form of empirical data or maps.

Accountability: Bridge communication gaps with their government; allow them to communicate their ideas, concerns and aspirations directly with duty bearers and compel them to act; and make local government more accountable, especially where significant political decision making has been decentralized.

Visibility: Make the unseen seen, to present alongside national data; capture and uncover local tactics and traditional knowledge; and show the complexity of their struggles and the diversity of local conditions.

Relevance: Challenge received wisdom — for example, that poor people are ignorant about various processes or circumstances.

Mobilization and creative capital: Enhance their capability to have a role in their own development; change people from research subjects into active researchers; foster creative capital and a culture of innovation through awareness, motivation, improved trust and leadership and new alliances; mobilize community group engagement; generate ownership of data; and build local adaptive capacity.

TOOL 6: TEN GOLDEN RULES FOR EFFECTIVE MESSAGING

Purpose

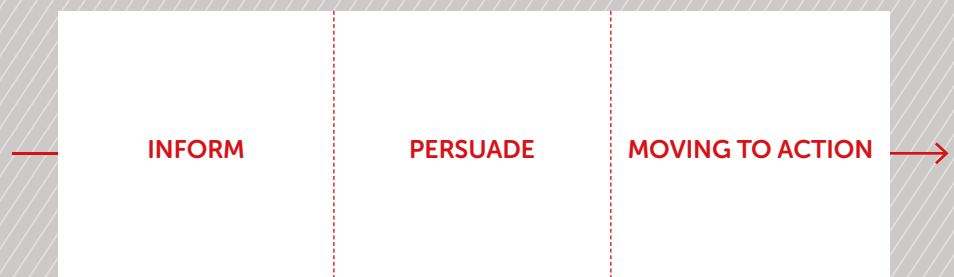
Advocacy communication and lobbying aims to inform, persuade and move people to take action. You should base your messages on evidence and use them to convey your core values, motivations and human stories to help sway your audiences.

To develop an effective message, you need to first develop one clear core message that clearly

summarizes your position and the changes you want to bring about. This may be challenging given that public contracting is a complex topic for most people. Refine the core message in a way that makes is understandable to everyone. This core message will then guide the development of more specific, tailored messages that you can direct at different audiences, perhaps focusing on different aspects of the core message. Your core message can also guide slogans, soundbites or stories that you rely on in lobby and advocacy work. Use the information from your stakeholder analysis (Step 3) to prepare effective messages.

FIGURE 6

THE AIMS OF ADVOCACY COMMUNICATION AND LOBBYING



Guidance

These are the ten golden rules to inspire you to co-create clear and impactful messages:

1. **Know your audience:** What do they know? What are their concerns, their values and their priorities? What kind of language do they use?
2. **Know your political environment and moment:** What are the big controversies, the big issues and fears in your context? How might they affect your messaging?
3. **Keep your messages simple and brief:** Make sure someone who is unfamiliar with the subject can easily understand the information. Avoid jargon. This is particularly important when advocating on some of the more technical issues.
4. **Use real life stories and quotes:** The personal element makes a problem or issue real. Quotes and personal stories bring to life the challenges faced by people who are directly affected by unclear contracting processes, corruption, and more, and help to make the message locally relevant and understandable. For example, did a change in procurement law lead to the creation of a better road in the community because a small contractor was able to compete for (and win) the bid?
5. **Use precise, powerful language and active verbs:** For example, 'Women's rights are human rights' or 'Do you know how your tax monies are being spent?' or 'Follow the Money', etc.
6. **Use facts and numbers accurately and creatively:** The facts you choose and the way you present them are very important. Saying 'One in three children are stunted' rather than 'More than 30 percent of children are stunted' conveys the fact more clearly. Comparing figures without quoting numbers can also convey your message effectively — for example, 'In our city, we spend more on junk food every year than the authorities contribute to supporting small local farmers to produce healthy foodstuffs'.
7. **Adapt the message to the medium:** Each medium has its own possibilities and limitations. For example, sounds, music and different voices are important on radio, but visuals are crucial on television and online.

8. Allow your audience to reach its own

conclusion: Provide basic details only. Too much information can appear dogmatic and you may lose your audience's attention.

9. **Encourage the audience to take action:** Be clear about what action your audience can take to support the cause. This applies to any audience, whether it is made up of key advocacy targets or the general public. Offer straightforward suggestions, such as 'Support the procurement bill in Parliament' or 'Join our Open Agricultural Data event this month to support your local farmers' (adjust according to your context and events of course).
10. **Present a possible solution:** Always tell your audience what you are proposing to advance a particular solution, and keep it simple — for example, 'We want the government to show its commitment to opening up contracting by providing a new policy and appropriate funding to promote transparent procurement practices.'

Guiding questions

The following questions will help us ensure our evidence strengthens our case:

- What evidence do we already have? Is this rooted in our experience? Is it generated by people? Is it factual, anecdotal, quantitative or qualitative?
- How reliable is it? Will it help us raise awareness of our issue with our target audiences?
- Have we identified any evidence gaps? If so, how can we plug them?
- Should we develop a partnership with academics or social researchers to complement the evidence we have already collected and enhance our legitimacy?
- How should we package and present our evidence to maximize its impact? What format should we use to present the evidence to our target audiences? Oral presentations by the groups/people affected during a multi-stakeholder dialogue? A documentary, a short, written report backed by longer papers detailing the evidence, a policy statement or a pamphlet? The way we present it may affect the type of information we collect and how we do it.
- Should we present our evidence in different formats to different audiences through different channels, depending on the opportunities and entry points that we have identified in our advocacy planning process?

STEP 6

CONVEYING OUR MESSAGES

Once we have developed clear messages based on the evidence, we need to decide the best way to convey these to our different audiences and the type of approach (refer to Part 2) we wish to take. In this section, we present a straightforward tool for analyzing the risks of advocacy to help us decide whether to take an insider or outsider approach. We also offer practical guidance and tools on lobbying and engaging with traditional and social media.

TOOL 7: ADVOCACY RISK ANALYSIS

Purpose

It is important to consider risks, challenges and potentially negative situations when planning our advocacy. All effective advocacy initiatives require some risk-taking; a comprehensive assessment of these risks will help you choose your lobbying and advocacy tactics and reflect on how to minimize or mitigate potential risks to the actors who are directly engaged.

This simple risk analysis tool enables you to discuss the risks you may face, the likelihood that these situations might happen and the actions you can take to mitigate or avoid these risks.

Guidance

1. In a group, brainstorm the risks you might face in carrying out the advocacy initiative. What major things could go wrong? How could people's lives be negatively impacted or endangered? Could your actions provoke a negative backlash and put your organization, its staff and the people you work with in danger? What is the nature of these risks? Are they different for different stakeholders?
2. Once you have identified the major risks, think about their level of potential impact on your organization or group — in terms of reputation, legitimacy, status, funding, work, staff, members, volunteers and individuals. Would the impact of these risks be:
 - HIGH** A catastrophic impact threatening the future existence of your organization, group or movement endangers people's lives or could lead to a reversal of the issue you are trying to change — for example, by criminalizing CSOs or people that speak out.
 - MEDIUM** Some damaging effects in the short term, with few longer-term repercussions.
 - LOW** A noticeable impact that has little effect on the organization, the people or your advocacy.
3. Now think about the likelihood of these risks or negative situation actually happening:
 - HIGH** Likely to take place in the next X months or years, or already taking place.
 - MEDIUM** Could happen in the next X months or years.
 - LOW** It would be very surprising if it did happen.
4. Next, discuss and develop clear strategies for all high-impact, high-likelihood risks, and for some medium-level risks, to help you minimize their impact or avoid them altogether. Consider what you could do to reduce the risk for the organization, group and individuals if your advocacy does not work as planned. What would you need to have in place? Who would have the authority to take action?

5. Use the template in **Annex 4** to record the results of your risk analysis.
6. You should revisit your risk analysis alongside your theory of change periodically and as your advocacy develops and unexpected outcomes arise.

Lobbying

Lobbying is a form of advocacy referring to direct one-to-one conversations and/or meetings where people get access to and seek to persuade those in power. It can take many different forms, from informal conversations in social settings – for example, over lunch or coffee – to formal

meetings in official settings such as a politician’s office. Engaging directly with decision makers and influencers is an important part of all successful advocacy, but it may not be possible or appropriate in all contexts and needs to be timed well to ensure impact.

Lobbying is an art, not a science. The way in which we communicate is ultimately informed by social norms and values in our society, by who we are, how others perceive us and who we are talking to. Every successful lobbyist must develop an individual style that works for them in their own context and circumstances.

BOX 5: CHECKLIST: WHAT MAKES A GOOD LOBBYIST?

- A good listener
- Is eloquent in speaking and charismatic, thereby capturing others’ attention
- Not easily upset or distracted
- Willing to let another person talk and take the lead
- Persistent, but not pushy
- Can think on their feet (able to think in the moment and under pressure)
- Able to make a convincing argument
- Knows when to retreat and try a new angle
- Can admit “I don’t know”
- Retains a sense of humor
- Able to identify hidden agendas
- Aware of visible and invisible power dynamics

Lobbying is a form of advocacy referring to direct one-to-one conversations and/or meetings where people get access to and seek to persuade those in power.

BOX 6: TOP TIPS FOR EFFECTIVE LOBBYING

Before a meeting:

- Set your objectives based on the purpose of the meeting and what you want to get out of it.
- Analyze your targets, find out key information about your lobby target, their role, interests, needs, motivations, relations, incentives, etc. etc.
- Frame your key messaging, use a 1 minute elevator pitch methodology to prepare and train how to deliver your key messaging
- Brainstorm any difficult questions you may be asked and rehearse your responses.

During the meeting:

- Introduce yourself and allow colleagues to do the same.
- Clearly outline the issue you want to draw the target person's attention to, allow the target person to comment on the issue before and then put forward your proposed solutions.
- Offer to help with additional information and support if you feel there is genuine interest.

- Do not avoid controversial topics, but remain calm if you are challenged. Hopefully, these will be issues you had anticipated might be raised in the meeting. If not, avoid getting drawn into discussion; simply take note of your interlocutor's stance. A good way to diffuse the tension is to say: "I/we hold a different view. If you think it might be helpful, I would be happy to provide you with additional information/evidence to support our position on this matter."
- Try to get some commitment for further action from the decision maker.
- Conclude with a clear call to action: Communicate clearly the action you want the person/s you are meeting with to take.

After the meeting:

- Make notes while everything is fresh in your mind and evaluate your visit with colleagues.
- Send a thank you note.
- Use this opportunity to summarize any agreement you came to during the meeting and outline any next steps/further action.

Engaging with the media to raise awareness and publicize events, and more

Public opinion can be the final tipping point or even driven force for - for instance governments - taking action. And if we want to raise awareness of our issues and reach out to a wider audience to shift public opinion, we need to engage with opinion leaders, influencers, and multipliers such as traditional, digital and social media. That includes press, TV and radio as well as YouTube, vlogging, blogging, Facebook, Twitter and Instagram. We can also use the media to publicize events we organize, from festivals to community meetings and important multi-stakeholder dialogue meetings.

Although there is already extensive guidance on engaging with traditional media, radio is a powerful medium for reaching out to people living in rural and urban settings. So in this section, we offer some tips on preparing for TV or radio interviews and then focus on using social media to promote people-led digital campaigning.

Before engaging with the media, it is important to agree on the key spokespeople who are most knowledgeable and eloquent or who can speak most legitimately about the issues. Supporting people to tell their own stories can be a powerful way to convey our messages to the media and can empower the people involved. Having at least one dedicated person with the necessary knowledge or skills for managing media outreach is also advisable.

BOX 7: TIPS FOR GIVING A TV OR RADIO INTERVIEW

DO

- Before the interview, pull together the key messages you want to convey and 'killer facts' or statistics to back your arguments.
- Make sure you are prepared to answer any difficult or controversial questions.
- Listen to what the journalist says and answer the questions in a calm way. Remember, you probably know more about the issue than the journalist does.
- Be creative, paint a picture: "Imagine what it must be like to..." If you can, use metaphors to convey what you want to say.
- Speak from the heart and use personal stories if relevant.
- If there's a chance for humor, use it. Everyone values authenticity and no one will know your heart is pounding out of your chest!
- Keep your answers brief (under a minute).
- Use simple language.

DON'T

- Turn into a 'stats machine' spewing out statistics and facts. Rather, weave these into what you say and only use them if and where relevant.
- Make things up. If you don't know an answer, say so.
- Answer a question in haste. If you need more time, repeat the question. Always take the journalist back to your key messages. Useful bridging phrases are: "I think what you're saying is important, but the main issue is..."; "We really need to focus on..."; "The real issue here is..."; "The research tells us ..."; "The thing to remember is..."; "But..."
- Let the journalist set the agenda and the message.
- Get sidetracked.
- Use acronyms or jargon.

Using social media

It is important to consider the best type of media for our audience. Although politicians, decision makers and influencers may be more sensitive to what they read in the newspapers, what they hear on the radio or what they see on TV, an increasing number also use social media to make their voices heard and reach out to their constituents directly. For example, the presidents of Bolivia, Uganda, Indonesia and Zambia have personal Twitter accounts and tweet daily. They have between 6,000 (President Lungu of Zambia) and 9 million (President Widodo of Indonesia) followers. Profiling key targets will not only provide us with essential information on their stance and their views on

relevant topics; it will also give us a good indication of how best to reach and engage with them.

So, if we are trying to shift public opinion on a given issue, promoting our messages on social media and radio might be the best way to make our voice heard. Supporting individuals - especially youth - and groups to tweet and post on Facebook or Instagram can be an effective way to engage them in direct digital activism.

Note: Beware of the illusion of digital activism. Just because many others like, share or comment on your tweet or post does not mean it automatically translates into real change.

BOX 8: HOW TO DEVELOP A SOCIAL MEDIA PLAN

These are the key steps for setting up an effective cascade to engage our advocacy partners on social media and get them to voice their views about a specific initiative, such as a new policy or legislation, or to support a particular event.

1. Encourage partners or individuals in society to join Twitter, Facebook or Instagram if they have not yet done so.
2. Ask them to share their Twitter handles or account names with all advocacy partners and encourage them to follow and connect with each other.
3. Share Twitter handles of any relevant decision makers, influencers and other public supporters of our campaign. Encourage all activists — partners, groups and individuals — to follow them and re-tweet or share relevant messages.
4. Encourage all to share relevant new information on activities or events on social media using an agreed hashtag, tagging relevant colleagues, partners, activists and advocacy targets when relevant.
5. Organize people-led or partner events to share key messages. Before an event:
 - Share the relevant hashtag for the event and campaign
 - Share key participants' Twitter handles. These include any famous influencers, artists, musicians, colleagues and partners who will be the event, and
 - Provide pre-formed tweets conveying key messages and soundbites with relevant links, hashtags and handles.
6. During key events, encourage all those present to live tweet, send photos and videos, talks and performances via social media and tag relevant colleagues and partners to create more traffic (also known as a Twitter storm).
7. After an event, monitor the number of mentions you get by hashtag and/or keep an eye out for any interesting interactions which can be followed up on social media or via direct engagement.

TOOL 8: THE ONE-MINUTE MESSAGE

Purpose

Summarizing and conveying our key message in three or four concise sentences or soundbites is useful for TV or radio interviews, where contributions are generally edited down to a maximum of 30 seconds, for vlogging or to use when you bump into a key decision maker. Known as the one-minute message or elevator pitch, it consists of:

- A statement: the central idea of the message
- Evidence: supports the statement with a few accessible facts and figures
- Example: adds a human face to the message, and
- Action desired: what we want our audience to do.

Guidance

1. In pairs or threes, decide which issue to focus on and try to co-create a one-minute message with all the above components. Note: Keep your target audience in mind when developing your message, to meet their interests and trigger points, otherwise the call to action will not be effective.
2. Think about your target audience and what action you want them to take - guiding questions include: what are their interests, motivations and needs, what triggers them?
3. Write out your message, ensuring it takes less than 60 seconds to read out.
- 4 Test the message on other participants to see if it is effective.
5. Improve your message based on their feedback.
6. Once you have an effective message, video yourself or a colleague reading it out and post it on social media or upload it to your website if you have one.

TOOL 9: THE TWITTER CHALLENGE

Purpose

If you decide that Twitter is an effective channel for conveying your messages to key audiences, you will need to communicate these in 280 characters. This can be a challenge, but it is also good fun.

Guidance

1. Craft your tweets in pairs or small groups, ensuring they are no longer than 280 characters, including spaces.

2. Think about your target audience and what action you want them to take - guiding questions include: what are their interests, motivations and needs, what triggers them?
3. Take your one-minute message as your starting point, extrapolating tweets that will make sense and convey a compelling idea on their own or as part of a Twitter thread — a series of related, and generally numbered, tweets that convey a more complex concept.
4. Remember, you can also use images, shorthand — people = ppl, citizens = citz, before = B4 — or emojis to limit your character count and make your tweets more impactful.
5. Try your tweets out on colleagues. Once you finalize them, include them as pre-formed tweets into your Twitter cascade plan for a specific event or advocacy initiative.

Guiding questions

There are a number of issues to consider when planning communications, including:

Format: What is the best way to deliver our message for maximum impact? A letter or a face-to-face meeting? A research report, a flyer or an infographic? A high-level conference or a documentary? A combination of all these formats?

Timing: What is the best time to deliver our message? Can we time it to coincide with a particular decision-making moment, an advocacy initiative, a relevant anniversary or a national day to mark a relevant issue? We are likely to have to take advantage of several appropriate timing opportunities — or hooks — during the course of our advocacy. Hooks are particularly important when planning a media strategy.

Place: Is there a location or venue to deliver our message that will enhance our credibility and political impact? This could be a side event at a national, regional or international conference, a presentation in Parliament or at a well-reputed academic institute associated with the issues.

Additional Resources

Twitter (2017) The NGO handbook: campaigning on Twitter. See <https://tinyurl.com/y7q5qx3k>

STEP 7

REVIEWING OUR PLAN AND KNOWING IF WE HAVE MADE A DIFFERENCE

REVIEWING OUR PLAN

All the information and analysis generated by collaboratively completing the advocacy planning process will help build a comprehensive picture of our advocacy initiative from the bottom up. This should complement our overall theory of change, enabling us to monitor the outcomes of our lobby and advocacy. But in line with the Open Up Contracting program's ethos of agile and dynamic learning, the aim is not to spend too long creating an elaborate and complex plan. **Annexes 3, 4 and 5** have templates for recording the steps of our advocacy initiatives. In particular, we may find it helpful to record:

- Key elements of our contextual analysis as a map
- Our specific change outcomes as a shared vision, and harvest progress made towards achieving our goals in outcome statements
- Our stakeholder analysis, including details of the changes we would like to see in our key targets
- Our risk analysis, including unforeseen change in context and unintended consequences of our advocacy
- Key evidence to make our case, including evidence we have — particularly people-generated evidence — and any research gaps we need to plug
- Our key messages and how we plan to convey these through different approaches and channels, and
- A shared calendar of activities and upcoming opportunities or work plan.

TOOL 10: SNAKES AND LADDERS GAME

| | | | | | | | |
|--|--|---|--|--|--|--|--|
| 48 WELL DONE! | 47 Oh no! Didn't properly cost all potential comms activities at the beginning so have overrun and need to find extra funding to ensure good project delivery | 46 Worth taking time to share learning on how comms work supported the project with colleagues and other putting concepts together. Feedback sessions with comms | 45 Learning on how comms work supported the project with colleagues and other putting concepts together. Feedback sessions with comms | 44 A good exit strategy – thinking about how to keep material accessible, developing archive websites etc | 43 Relying on one type of output or activity to get message across severely limits the chance of impact and is not a good comms strategy | 42 | 41 Don't tail off now just because you are coming to the end! Good comms takes place before, during and AFTER |
| 33 | 34 Extra brownie points for talking to stakeholders throughout, getting feedback on use of materials and influence | 35 Extra brownie points for talking to stakeholders throughout, getting feedback on use of materials and influence | 36 Good monitoring and tracking of where outputs are going and who is using them means ability to report back to donors as you go along | 37 Good monitoring and tracking of where outputs are going and who is using them means ability to report back to donors as you go along | 38 Relying on one type of output or activity to get message across severely limits the chance of impact and is not a good comms strategy | 39 Not built in enough planning time for responding to opportunities, can't realise objectives and missed chance of maximum impact on activities undertaken | 40 Not built in enough planning time for responding to opportunities, can't realise objectives and missed chance of maximum impact on activities undertaken |
| 32 | 31 Beginning to get feedback from your first products and engagements! | 30 Beginning to get feedback from your first products and engagements! | 29 Beginning to get feedback from your first products and engagements! | 28 Stakeholder analysis not clear enough, expectations that one type of product will fit all audiences, poor analysis of when and how to engage | 27 Stakeholder analysis not clear enough, expectations that one type of product will fit all audiences, poor analysis of when and how to engage | 26 Good horizon scanning! Thinking about demand, tailoring products and responding to external opportunities, repurposing and re-directing project outputs. | 25 Good horizon scanning! Thinking about demand, tailoring products and responding to external opportunities, repurposing and re-directing project outputs. |
| 17 Good knowledge of audience needs will mean increased impact and reduced costs – higher value for money | 18 Well differentiated comms strategy and marketing plans mean good use of source material across different channels and medium – achieve more with less | 19 Stakeholder analysis not clear enough, expectations that one type of product will fit all audiences, poor analysis of when and how to engage | 20 Stakeholder analysis not clear enough, expectations that one type of product will fit all audiences, poor analysis of when and how to engage | 21 Keep re-iterating your plan until you are happy – through the inception phase and later if needed | 22 A good marketing plan supports the communication strategy to allow maximum impact | 23 A good marketing plan supports the communication strategy to allow maximum impact | 24 A good marketing plan supports the communication strategy to allow maximum impact |
| 16 Project over-ambitious, cannot resource communications work well enough to meet project expectations | 15 Project over-ambitious, cannot resource communications work well enough to meet project expectations | 14 Keep re-iterating your plan until you are happy – through the inception phase and later if needed | 13 Keep re-iterating your plan until you are happy – through the inception phase and later if needed | 12 Keep re-iterating your plan until you are happy – through the inception phase and later if needed | 11 Strong involvement of partners in developing communications strategy, partners involved in agreeing KPIs, Marketing plan and CIF in place | 10 Strong involvement of partners in developing communications strategy, partners involved in agreeing KPIs, Marketing plan and CIF in place | 09 Strong involvement of partners in developing communications strategy, partners involved in agreeing KPIs, Marketing plan and CIF in place |
| 01 START | 02 Strong, clear outcomes for project, clear what comms activity needs to be | 03 Strong, clear outcomes for project, clear what comms activity needs to be | 04 Take a minute to look through the comms strategy template and see how it all fits together | 05 Good stakeholder mapping, clear sense of how different stakeholder groups contribute to change envisioned | 06 Good stakeholder mapping, clear sense of how different stakeholder groups contribute to change envisioned | 07 Good stakeholder mapping, clear sense of how different stakeholder groups contribute to change envisioned | 08 Slow start, objectives not clear enough, not clear how to resource and prioritise |

Purpose

This is a fun game to play as a team either before or after completing your advocacy planning process to get you thinking about any pitfalls and challenges (snakes) you may have forgotten while taking stock of everything you have covered.

Guidance

1. Get into groups of three to five people with the snakes and ladders board, a dice and counters and put your counters on the bottom left square (start).
2. Take turns to throw the dice and move your counter, finding out new information about advocacy planning on each turn. If you land on a snake's head, slide down the snake to the square at the bottom of its tail. If you land at the bottom of a ladder, you can jump ahead by climbing the ladder.
3. On each turn, players should discuss the information and statements on the square they land on.
4. The winner of the game is the first person to reach the end.

Add note on how this section is separate from the rest - in terms of these tools coming after advocacy and lobby has already occurred. These can be done on a periodic basis when you have achieved some outcomes and can take the opportunity to reflect and adapt, and come to better narratives to use in your storytelling in advocacy.

Additional Resources

Hivos' Outcome Harvesting presentation
<https://docs.google.com/presentation/d/1E5TgPCUz6LatwX91A123s3To83w09uW2SE0J0dBUJMc/edit#slide=id.p1>

Hivos' Guidance for "Harvesters" in the identification and formulation of outcome statements in the Open Contracting program
https://docs.google.com/document/d/166b6y9LkoJjMM0_JqDKfA4aO38brPgtU7ebO2HC68iE/edit

Hivos' Outcome Harvester Coordinators Blended Learning Platform at
<https://dgroups.org/groups/outcome-harvesting/hivosoh/> (registration required)

Outcome harvesting
<http://outcomeharvesting.net/about/>

Wilson-Grau, R (2015) Outcome harvesting. BetterEvaluation. See www.betterevaluation.org

Clarke, M (10 July 2017) On being asked the wrong question. The Advocacy Hub. See <https://theadvocacyhub.org>

These can be done on a periodic basis when you have achieved some outcomes and can take the opportunity to reflect and adapt.

TOOL 11: GUIDANCE - THEORY OF CHANGE REVIEW EXERCISE

Part 1 - original ToC

- Print the original ToC on A5 using strong paper and different colors for the different ToC levels
- Cover a big wall with flip chart paper so you can draw on it with permanent markers
- Place the ToC print-outs on the wall using the structure as in the ToC overview (see above)
- Use the Pathways to Change (strategies) and Assumptions to reflect on what was done and what progress was achieved in country/region.
- Visualize the Pathways to change by drawing arrows from Intermediate Outcomes, -> Mid-term Outcomes -> Long-term Outcomes -> Impact
- Connect the assumptions to the Pathways. Place them next to the Pathways (arrows) they belong to so that actually each pathway has assumption(s).

Part 2 - ToC review progress, pathways and assumptions

Review and discuss what actually happened:

- What intermediate, mid-term, and long-term Outcomes have been archived so far?
- What Pathways have been used to achieve them?

- Which Pathways have not been used and why?
- Which intermediate, mid-term, and long-term Outcomes have not archived and why?
- What can we learn about our assumptions connected to the Pathways?
- Which assumptions are still valid?
- Which assumptions are not valid and why?

Part 3 - ToC adaptations

Looking at the original ToC and what actually happened: what can we learn?

- What adaptations have we made? What new Pathways have we used?
- What are the underlying assumptions for these new passkeys?

Part 4 - ToC learning questions

- What are the critical assumptions? (killer assumptions that can make the program fail)
- What do we understand about these critical assumptions?
- What do we not know about these critical assumptions?
- Design learning questions for each critical assumption using the guide & presentation

Please use the [Hivos ToC Guidelines](#) as reference for home study.

TOOL 12: SENSEMAKING EXERCISE - NARRATIVE ASSESSMENT

Purpose

Narrative assessment, the new advocacy M&E method, centers on collective examination and sense-making of outcomes and co-construction of credible and testifiable stories. It seeks to make monitoring and evaluation of L&A realistic, doable and much more meaningful by putting at the center the advocates and their stories about achievements and how they matter.

Narrative assessment integrates Theory of Change thinking and storytelling. Importantly, through the co-creation of stories by advocates themselves and so-called Narrative Assessment (NA) facilitators, the method supports, among others, collective sense-making of otherwise disjointed outcome statements that are produced through Outcome Harvesting.

However, it is not just storytelling. The method aims to be rigorous in that the NA facilitator can probe further to tease out the relevance of achievements and critically examine claims to strengthen the story's validity.

Guidance

This approach will do justice to the reality of L&A work and unpacks its quality. The starting point is that insightful stories, well developed and critically examined, can strengthen whatever evidence has

been gathered. It centers on the collective creation of meaning of achievements, in the accessible and inspiring form of stories that can be of great significance for external and internal communication. Especially in light of the fact that advocacy achievements are often small steps that can get their meaning in light of a bigger picture and an orientation to the future. And finally, by this method, assumptions and claims are made explicit and put to the test. This will greatly help collective reflection and learning.

The Narrative Assessment methodology consists of four basic steps:

1. Deciding on the scope and focus of the narrative assessment
2. Conducting Interviews by narrative assessment facilitators of selected advocates
3. Constructing stories from the interviews using the stories (approx. 2 hours) for
4. Reflecting and learning

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Narrative assessment integrates Theory of Change thinking and storytelling.

ANNEXES:

ADDITIONAL INFORMATION
AND TEMPLATES

ANNEX 1

INDICATIVE OUTLINE FOR AN ADVOCACY PLANNING WORKSHOP

This annex contains a template outline you can use or modify for a participatory advocacy planning workshop involving CSOs, journalists and other groups of people. The workshop design provides an overview of the Open Up Contracting program while taking participants through the key steps of co-creating a lobbying and advocacy initiative framed by the advocacy planning cycle. If you plan to cover all the sessions outlined in the mock agenda, you should allow at least one or two — and maybe three — full days for the workshop.

Session 1: Welcome and introductions

- Participants take turns to say their name and something about themselves.
- Ask participants to share one expectation for the workshop. Record these on a flip chart so that you can go back to it at the end.

Session 2: What does people-led advocacy mean to us?

- Get participants to brainstorm what people-led advocacy means to them by working in small groups to generate words they can record on sticky notes or cards and stick these on the wall.
- Sort the cards to find common words/definitions and comment on these.
- Share the definition of advocacy from Box 1.

Do participants agree with that definition? Is something missing? Does it correspond with what you already do?

Session 3: Advocating for People

- Show the advocacy participation matrix in **Figure 1** (Tool 1).
- Discuss in plenary where you think you are on the matrix at the moment and why.
- What action(s) can you take jointly to progress around the matrix?
- Outline the advocacy planning cycle as a useful shared conceptual framework for co-creating advocacy initiatives.
- Allow time for reflection and learning.

Session 4: What advocacy capabilities do we have in our group?

- Use Tool 2 to assess existing advocacy capacity and identify areas for development.
- Pin your capability spider diagrams on the wall and discuss these to decide jointly:
- Who is best placed to lead different aspects of the advocacy plan
- Who can help others in the group, based on their capabilities, and
- What further capacity development you need to source from outside the group.

Session 5: What do we want to change?

- Share the Open Up Contracting program's overarching vision and the local program theory of change.
- Brainstorm local issues participants wish to focus on. Depending on your group's size and composition, you can focus on one or more

shared problems for different interest groups to take forward in their advocacy.

- Use Tool 4 to develop a problem and solution tree per group.
- Each group should develop at least one change outcome statement based on their tree.
- Allow time for reflection and learning.

Session 6: Who can make change happen?

- Explain what a stakeholder analysis is and why it is helpful.
- Develop user personas to profile those we need to target
- Use Tool 5 to develop a power-will matrix per group, focusing on the problem they have selected.
- Each group should present their matrix in plenary, getting feedback from other participants.
- Allow time for reflection and learning.

Session 7: Co-creating effective messages

- Share the fundamentals of effective messaging and top tips.
- Use Tool 6 to create a message per group.
- Each group should try it out in plenary, getting feedback from other participants.
- Allow time for reflection and learning.

Session 8: Conveying messages

- Outline the insider and outsider advocacy approaches to advocacy (see **Table 1**).
- Explore lobbying: what it is and how best to do it.
- Share and discuss tips for engaging with the media.
- Brainstorm in groups how they plan to convey their messages.
- Each group should share their plan in plenary.
- Allow time for reflection and learning.

Session 9: How will we know if we have made a difference?

- Introduce the essentials of outcome harvesting (see Step 7) with examples of recent achievements by the initiative in your focus country.
- Refer to Tool 11 on reviewing progress vis-a-vis the ToC and Tool 12 on narrative assessment
- Allow time for reflection and learning.

Session 10: Next steps

- Use the template in **Annex 5** to build a calendar of activities in plenary.
- Clearly define the next steps you will need to take: tomorrow; in the next week; in the next month; over the next six months.

ANNEX 2

OPEN UP CONTRACTING THEORY OF CHANGE (TOC)

The theory of change (ToC) is an appropriate approach to guide its strategic thinking and action, as well as its collaborative action with others. The use of a ToC approach fosters critical questioning of all aspects of change interventions and supports adaptive planning and management in response to diverse and quickly changing contexts. It contributes to the quality and transparency of strategic thinking, and therefore to personal, organisational and social learning.

The ToC for Open Up Contracting is provided so staff and partners can easily reference the collective, global-level theory of change. And although we hope that some advocacy plans derived by or with people as a result of using this toolkit will complement our theory of change, we also welcome plans that do not.

For the Open Up Contracting ToC, refer to [this document](#) and [this evaluation sheet](#). For guidance on creating a theory of change, please see the [guidelines](#).

ANNEX 3

STAKEHOLDER OUTCOMES JOURNAL (TEMPLATE)

This is a simple, target-centered method for tracking progress over time. A stakeholder outcomes journal focuses specifically on monitoring changes in the behavior of the key decision makers you are targeting. Progress should relate to the changes in behavior that you have identified and categorized for the stakeholder analysis (Step 3). You can complete the journal at

regular intervals or use it to note particular developments around individual targets as they unfold, establishing separate journals for individual key targets. You should share the journal and discuss it periodically in group meetings to aggregate shared perceptions of change in your targets.

| | |
|---|--|
| Outcome journal for: | <i>Name(s)</i> |
| Progress from/to: | <i>Timeframe of recorded change</i> |
| Contributors to monitoring update: | <i>Name of person recording the outcomes</i> |
| Progress on changes we expect to see in target (low/medium/high) | |
| 1. | |
| 2. | |
| 3. | |
| Progress on changes we like to see in target (low/medium/high) | |
| 1. | |
| 2. | |
| 3. | |
| Progress on changes we love to see in target (low/medium/high) | |
| 1. | |
| 2. | |
| 3. | |
| Description of change: | |
| Contributing factors and actors: | |
| Sources of evidence: | |
| Unanticipated change: | |
| Lessons, required changes to approach and tactics and/or reactions: | |

ANNEX 4

RISK ANALYSIS MATRIX (TEMPLATE)

List the major (internal and external) risks, challenges, dangers or obstacles to the success of your advocacy plan, calculating the likelihood each negative situation will take place and outlining the steps you might take to mitigate each risk.

| Risk | Impact (high/medium/low) | Likelihood (high/medium/low) | How we will mitigate the risk |
|-----------------------|------------------------------------|--|--------------------------------------|
| Description of risk 1 | | | |
| Description of risk 2 | | | |
| | | | |

ANNEX 5

SHARED CALENDAR OF ACTIVITIES AND OPPORTUNITIES (TEMPLATE)

| Activity/ opportunity | When? | Key target(s) | Coordinators | Tactics for influencing |
|-----------------------------|--|-----------------------------------|---|---|
| <i>Activity description</i> | <i>Eg, conference date, policy timeframe</i> | <i>Who are you targeting?</i> | <i>Who will lead or help coordinate the activity?</i> | <i>How will you make change happen?</i> |
| | | | | |
| | | | | |

ANNEX 6

GUIDELINES FOR WRITING CASE STUDIES

Ideal length - around ½ to 1 full page

<Introduction/Background - 4-5 lines>

- State the objective/goal/purpose of the case study you wish to describe
- Describe in 1-2 sentences any relevant background/details to the case

<Main Case Study Content - 6-8 lines>

- Describe the specific activities that took place, the actors involved, the main challenges, and results achieved (outputs)

<Closing paragraph - 3-4 lines>

- Describe impacts (outcomes) (if applicable)
- Describe potential for replication and dissemination of the case to other partners, projects, etc. (if applicable)

ANNEX 7

CAPACITY

SELF-ASSESSMENT

(TEMPLATE)

INTRODUCTION

Support to Capacity Development for Lobby & Advocacy is a major component of the Open Up Contracting program. Any effort to develop capacities starts with an assessment of existing capacity. We believe that the capacity of an organization cannot be “built” from outside; capacity development is the own responsibility of an organization. It can be externally supported, however. Likewise we believe that capacity assessment also has to start with a self-assessment. The self-assessment is the basis for dialogue with external actors.

To facilitate this capacity self-assessment for lobby and advocacy we have designed a template of generic items¹². The template’s purpose is to serve as a starting point for our dialogue on capacity development for lobby and advocacy.

The template consists of three parts:

1. A rating of your organisation’s capabilities on the proposed items.
2. Please note that at the bottom you can add items you think are also relevant for your Lobby & Advocacy capacity. You can also indicate when you think an item is not relevant, or when you are not clear about the meaning of an item (we obviously hope there are all clear).
3. A brief summary of what you consider the most important aspects
4. Your priorities for capacity strengthening.

¹² This assessment model is based on the so-called 5C framework (originally developed by ECDPM). The list in this document are capabilities that have emerged as important to achieve L&A goals and outcomes in the International L&A (ILA) evaluation of the Dutch MFS II program. You can find the ILA report [here](#). The general model consists of 5 capabilities that are closely linked to each other:

- C.1. Capability to commit to and act on a Long-term vision
- C.2. Capability to deliver on objectives
- C.3. Capability to adapt and self-renew
- C.4. Capability to relate
- C.5. Capability to achieve coherence

We have added a category specific to the work of infomediaries in Open Contacting under OC “https://partos.nl/fileadmin/files/Documents/10_Int_Lobby___Advocacy_endline_report.pdf”

| | 1. How would you 'rate' - on a scale of 1 (very weak) to 10 (excellent) your organisation's (please mark your scores with an X): | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | Not relevant | Not sure |
|------|--|---|---|---|---|---|---|---|---|---|----|--------------|----------|
| C.1. | ability to develop focus, take decisions, plan and translate these into organisational action | | | | | | | | | | | | |
| C.1. | ability to mobilise resources (financial, human, facilities) | | | | | | | | | | | | |
| C.1. | ability to mobilise constituency | | | | | | | | | | | | |
| C.1. | ability to mobilise the public | | | | | | | | | | | | |
| C.2. | ability to mobilise allies & champions | | | | | | | | | | | | |
| C.1. | ability to articulate constituency views and needs into an agenda for Lobby and Advocacy | | | | | | | | | | | | |
| C.1. | <i>ability to build compelling cases and formulate credible arguments</i> | | | | | | | | | | | | |
| C.1. | <i>establish credibility and legitimacy as partner</i> | | | | | | | | | | | | |
| C.2. | <i>to achieve access to resources (financial, knowledge, information, human, facilities)</i> | | | | | | | | | | | | |
| C.2. | <i>to plan and execute strategy effectively, based on a Theory of Change while relating to the context</i> | | | | | | | | | | | | |
| C.2. | <i>to generate, mobilise and use knowledge as a basis for evidence-based lobby and advocacy</i> | | | | | | | | | | | | |
| C.2. | <i>to relate to decision-making actors, arenas and processes</i> | | | | | | | | | | | | |
| C.3. | <i>ability to adapt the scope of the issue to be relevant for the broader network</i> | | | | | | | | | | | | |
| C.3. | <i>ability to learn internally (culture of learning and internal reflection)</i> | | | | | | | | | | | | |

| | | | | | | | | | | | | | | | |
|------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| C.3. | knowledge of shifting contexts and relevant trends | | | | | | | | | | | | | | |
| C.3. | ability to analyse (external) risks and prepare steps for risk mitigation | | | | | | | | | | | | | | |
| C.3. | ability to adjust to changing contexts | | | | | | | | | | | | | | |
| C.3. | ability to adapt lobbying and advocacy to external actors and factors | | | | | | | | | | | | | | |
| C.4. | ability to build and maintain networks with other stakeholders | | | | | | | | | | | | | | |
| C.4. | ability to maintain appropriate communication with the larger network | | | | | | | | | | | | | | |
| C.4. | ability to maintain clarity about relations with relevant networks | | | | | | | | | | | | | | |
| C.4. | ability to deal with tensions in the broader network | | | | | | | | | | | | | | |
| C.4. | ability to involve network partners in learning and decision making | | | | | | | | | | | | | | |
| C.4. | ability to establish and maintain visibility and presence in decision making arenas | | | | | | | | | | | | | | |
| C.4. | ability to relate to decision makers / lobby targets | | | | | | | | | | | | | | |
| C.4. | ability to establish credibility and legitimacy in the eyes of decision makers/ lobby targets | | | | | | | | | | | | | | |
| C.5. | ability to balance diversity and achieve coherence expressed in vision, strategy and practices | | | | | | | | | | | | | | |
| C.5. | ability to establish clear internal processes of participation and clarity of roles | | | | | | | | | | | | | | |

| | | | | | | | | | | | | | | | | | | | |
|------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| C.5. | <i>ability to include and represent different layers and geographical areas in agenda-setting, policy-influence and changing practice</i> | | | | | | | | | | | | | | | | | | |
| C.5. | <i>ability to include and represent different layers and geographical areas in representation of the alliance or network</i> | | | | | | | | | | | | | | | | | | |
| C.5. | <i>ability to deal with diverging opinions, voices, interests and objectives within your network</i> | | | | | | | | | | | | | | | | | | |
| OC.1 | <i>solid understanding of the public budgeting process (budget cycle)</i> | | | | | | | | | | | | | | | | | | |
| OC.2 | <i>solid understanding of public contracting process</i> | | | | | | | | | | | | | | | | | | |
| OC.3 | <i>solid understanding of the interests of stakeholders involved in public contracting</i> | | | | | | | | | | | | | | | | | | |
| OC.4 | <i>solid understanding of domain specific issues in public contracting (extractives, constructions, health, education, agriculture, etc.)</i> | | | | | | | | | | | | | | | | | | |
| OC.5 | <i>solid understanding of relevant data sources and their accessibility and quality</i> | | | | | | | | | | | | | | | | | | |
| OC.6 | <i>solid understanding of the Open Contracting Data Standard (OCDS)</i> | | | | | | | | | | | | | | | | | | |
| OC.7 | <i>ability to access the data sources required for evidence based advocacy (via official sources, FOI requests, scraping, investigations, etc)</i> | | | | | | | | | | | | | | | | | | |
| OC.8 | <i>ability to clean and structure messy datasets</i> | | | | | | | | | | | | | | | | | | |

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|-------|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| OC.9 | <i>ability to analyse data</i> | | | | | | | | | | | | | | | | | | | |
| OC.10 | <i>ability to use data for evidence based advocacy (storytelling, visualisation)</i> | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | |
| | Other ability, namely: ability to advocate for law reforms | | | | | | | | | | | | | | | | | | | |
| | Other ability, namely: ability to undertake social accountability | | | | | | | | | | | | | | | | | | | |
| | Other ability, namely: ability to conduct coalition development and management | | | | | | | | | | | | | | | | | | | |
| | Other ability, namely: | | | | | | | | | | | | | | | | | | | |
| | Other ability, namely: | | | | | | | | | | | | | | | | | | | |

2. Please summarize what you consider to be the most important aspects of your organisation's Capacity for Lobby & Advocacy in the Open Up Contracting program ?

3. What do you consider to be priority aspects for strengthening your organisation's Capacity for Lobby & Advocacy ?

What topics do you need most help in to strengthen your organization's capacity for Lobby and Advocacy?

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