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Rights-based Approach to Development and Advocacy

Source Book

FOREWORD

This Source Book is one of Kukumbi's efforts in implementing the Strategic Plan 2010-2014. It is an important document that will guide Kukumbi's contribution to poverty reduction in Zambézia, Province Mozambique. Kukumbi's staff will refer to some of the guidance provided by the source book during their daily activities. The aim here is to contribute to the capacity development of Kukumbi staff so they can improve Kukumbi's their performance in rights based approaches to development and advocacy using results-based planning and management. This source book will be continuously updated to take into account emerging themes in the development sphere. It is a pleasure to present to you this Source Book. With sufficient engagement and commitment, it will contribute to the promotion of social justice, sustainable development, and democratic sensibility in the communities of the extensive Province of Zambézia.

Angelo Amaro
Executive Director

1st October, 2010

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CHAPTER ONE

THE RIGHTS-BASED APPROACH TO DEVELOPMENT

1.1 Rights-based approaches to development (RBA)

The Rights-based Approach (RBA) is a new concept to development policy and practice. Until about 1980s, development and human rights had little in common. Although both development and human rights were born out of World War II, they were run by separate global institutions. The World Bank and the International Monetary Fund were charged with development promotion while the United Nations Human Rights Commission was charged with the protection and promotion of human rights. Development was dominated by economists and narrowly conceived as economic growth where human rights had little relevance at all. The human rights, enshrined in the Universal Declaration of Human Rights in 1948 by the United Nations (UN), were a preserve for lawyers.

However, human rights and human development share a common vision and a common purpose: to secure the freedom, well-being and dignity of all people everywhere' (UNDP, 2000:1). This means that

- Development should be pursued in a human rights way
- Development should not focus on economic growth and material prosperity but should include freedom, dignity and well-being of people
- Human rights must be integrated into sustainable human development

1.2 Definition of the Rights-Based Approach to Development

The right to development was proposed by a Senegalese Judge Keba M'Baye in 1972 in the context of elimination of injustices and inequalities (Centre for Development and Human Rights, 2004). However, it was not until 1986 that a 'right to development' was adopted by the UN General Assembly. RBA to development has been mainstreamed by government, international institutions and NGOs such as the World Bank, UNICEF, UNDP, SIDA, DFID and CARE. Box 1.1 outlines some of the RBA definitions.

The use of term **'standards' or 'normative'** denotes that RBAs go beyond putting values and politics at the very heart of development practice. RBAs are also associated with meeting the requirements of a universal system of rights, in which minimum standards of well-being are extended to the widest possible constituency. For example, the Sphere Minimum Standards in disaster response relating to food security, nutrition, water and sanitation, food

aid and shelter attempts to make the 'rights-based approach operational'. The Sphere Minimum Standards incorporates basic human principles embodied in the Humanitarian Charter such as right to life with dignity, non-discrimination, impartiality and participation (Sphere Project, 2004).

Box 1.1 RBA Definitions

Author	Definition
(Mary Robinson, 2001)	A rights-based approach is a conceptual framework for the process of human development that is normatively based on international human rights standards and operationally directed to promoting and protecting human rights.
(UN Secretary-General 1998)	A rights-based approach to development describes situations not simply in terms of human needs, or developmental requirements, but in terms of society's obligations to respond to the inalienable rights of individuals, empowers people to demand justice as a right, not as a charity, and gives communities a moral basis from which to claim international assistance when needed.
(Action Aid Kenya 2002)	A rights-based approach affirms that all citizens are entitled to the resources that satisfy their basic needs. Additionally, every citizen – rich and poor – has the right to information and participation in the development process.
(Amnesty International 2002: 4)	An ethical approach to globalization can mean nothing less than a rights-based approach to development. We must struggle not only against torture, arbitrary detention and unfair trials, but also against hunger, illiteracy and discrimination if human rights are to be meaningful in developing countries.
Johnson and Forsyth (2002: 1592)	… rights-based approaches are generally associated with a universal system of rights, in which minimum standards of well-being are extended to the widest possible constituency.

Source: Manyena (2009)

1.3 Principles of the Rights-Based Approach to Development

RBA has five principles- equity, accountability, transparency, participation and non-discrimination

- Equity – is reflected in policies that are aimed at ensuring equitable distribution of benefits and that target the most vulnerable and marginalised people
- Accountability - involves establishing responsibility for the non-fulfilment of a right and applying corrective measures. A development programmes should identify duty-holders and their obligations.
- Transparency - essential for ensuring accountability because programmes must be designed and implemented openly.

- Participation - access to decision-making and the exercise of power in the execution of projects which lead to programme development. This means citizens have to be empowered and have ownership of the programmes

Some the barriers to participation which were identified by Kukumbi staff include those in Box 1.2

Box 1.2 Barriers and solutions to Participation

Barriers	Solutions
Lack of information Illiteracy Cultural aspects Religion Poverty Vulnerability Lack of self-esteem discrimination	Literacy Dissemination of information Mobilisation and sensitisation Advocacy

- Non-discrimination - no discrimination on the grounds of race, colour, sex, language, political or other opinion, religion, national or social origin etc.

By stipulating an internationally agreed set of norms or standards, backed by international law, RBA provides a stronger basis for citizens to make 'claims' on their states and for holding states to account for their duties to enhance the access of their citizens to realise their rights and entitlements. RBAs make improvements of capacity-building programmes to empower communities to (radically) influence change from an existing state to an improved state of resilience. They differ from a needs-based approach (NBA) which is mainly associated with meeting needs based on charitable intentions to secure additional resources for delivery of services to marginalised groups.

1.4 The Rights-Based Approach and Kukumbi

Adopting an RBA means Kukumbi can help communities in Zambezia Province as **'right-holders'**, to identify root causes of underdevelopment and 'demand' solutions from **'duty-bearers'** or **'obligation-holders'** such as officials from government. This encourages the communities in Zambezia Province to redefine the nature of the problem and the aims of

development into **claims**, **duties** and mechanisms that can promote human respect and dignity. The use of the term **'empower people'** means RBAs are about building community-capacity in Zambezia Province to enable them to claim their entitlements through negotiation, lobby and advocacy. RBAs are a vehicle for improving good governance. They can help improve the relationship between state and its citizens. Increased government and NGOs accountability to communities shifts the frame from viewing them as development clients or customers but to that of citizens with ability to demand the fulfilment of their rights from obligation-holders. It makes the participation of Zambezia Province communities in development and humanitarian programmes more meaningful to realise both their practical and strategic needs. The meaning of RBA to Kukumbi is summarised in Box 1.3.

Box 1.3 The meaning of RBA to Kukumbi

- Better meets the community needs and initiatives (both practical and strategic needs)
- Addressing root causes of poverty
- Increased understanding of policy
- Kukumbi will become an important player in policy formulation
- Kukumbi will identify partners and alliances both internally and externally (of Mozambique)
- Better understanding stakeholders better
- Help the implementation of activities in the community
- To contribute to the achievement of MDGs
- Equitable and sustainability of project benefits
- Increased freedom and dignity of communities
- Active communities in development planning and implementation
- Well-being of community and sustainable knowledge about rights and obligations in relation to basic needs such as education, integration of gender and empowerment of women
- More appropriate response to group actions
- Community ability to better articulate their needs
- Improved way of implementation of activities
- Improved community participation

1.5 Conclusion

This chapter has introduced the rights-based approach to development and its implications to Kukumbi and Zambezia Province in general. It should be noted that the RBA integrates rights into development for citizens to build their capacity to realise their rights and entitlements. The next chapter introduces the advocacy approach for citizens to realise their rights.

CHAPTER TWO

ADVOCACY

2.1 Defining advocacy

Advocacy means taking action to bring about change you are seeking. It is about standing up to injustices to improve the well-being of poor and disempowered people. Advocacy happens all the time to us, family members, friends and colleagues but also at sub-district, district, provincial, national and international levels among people who may never meet. The origin of the term advocacy is summarised in Box 2.1.

Box 2.1 Origins of the term 'advocacy'

The word advocacy has its origins in law and is defined by most dictionaries as the process of 'speaking on behalf of someone'. Today it has evolved to include work undertaken by development agencies, civil society groups and individuals to bring about change. Advocacy has been defined as the process of managing information and knowledge strategically to change and/or influence policies and practices that affect the lives of people (particularly the disadvantaged). Another definition calls it 'advocating on behalf of the voiceless'
(Water Aid/WSSCC, 2003)

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

- in attitudes and political will
- in policy/decision-making
- in policy implementation
- in people's awareness of policies
- in monitoring policy implementation[1]

For example, advocacy work could be undertaken to increase the participation of communities in Zambezia Province in the development process and outcomes as provided for by the LOLE/2003. Local communities may not be aware of the existence of LOLE. This requires a process of change that can be brought about by advocacy work so they can claim their rights.

Advocacy therefore encompasses working for change in any of the following areas:

- **Who** makes the decisions: participation of civil society, representation of community
- **What** is decided: legislation, policies, budgets, programmes
- **How** is it decided: accountability and transparency; participation of civil society
- **How** is it enforced or implemented: accountability, awareness raising[2]

[1] Water Aid
[2] Water Aid

Therefore, advocacy work by its nature rooted in politics, particularly its focus on change of policies and programmes, promotion of democratic space, building capacity for the disempowered and vulnerable people to speak out for themselves (e.g. women, the disabled, orphans and vulnerable children and People Living with HIV and AIDS).

2.2 Different types of advocacy[3]

Citizen advocacy

Citizen advocacy is when ordinary citizens are encouraged to become involved with a person who might need support in their communities. The citizen advocate is not paid and not motivated by personal gain. The relationship between the citizen advocate and their advocacy partner is on a one-to-one, long term basis. It is based on trust between the partner and the advocate and is supported but not influenced by the advocacy organisation. The advocate supports their partner using their natural skills and talents rather than being trained in the role.

Group or Collective advocacy

Collective advocacy is where a group of people who are all facing a common problem get together on a formal basis to support each other over specific issues. Individual members of the group may also support each other over specific issues. The group as a whole may campaign on an issue that affects them all. A collective voice can be stronger than that of an individual, as groups are more difficult to ignore. Being part of a collective advocacy group can help to reduce an individual's sense of isolation when raising a difficult issue.

Peer advocacy

Peer advocacy is when individuals share significant life experiences. The peer advocate and their advocacy partner may share age, gender, ethnicity, diagnosis or issues. Peer advocates use their own experiences to understand and empathise with their advocacy partner. Peer advocacy works to increase self awareness, confidence and assertiveness so that the individual can speak out for themselves, lessening the imbalance of power between the advocate and their advocacy partner.

Professional advocacy

Professional advocacy is also known as one to one, individual or issue based advocacy. It is provided by both paid and unpaid advocates. An advocate supports an individual to represent

[3] Adapted from the Scottish Independence Advocacy Alliance

their own interests or represent the views of an individual if the person is unable to do this themselves. They provide support on specific issues and provide information but not advice. This support can be short or long term.

2.2 The need for advocacy in Kukumbi's work

National Context

The Republic of Mozambique is located in Southern Africa and extends for 2,500 km along the east coast of Africa sharing land borders with Tanzania, Malawi, Zambia, Zimbabwe, South Africa and Swaziland. It has a population of about 21 million. About 83 percent of the population is engaged in agriculture and until recently, it accounted for about 80 percent of exports. Minerals make up an increasing share of exports, and recent investment in Mozambique's mineral and gas deposits may increase their contribution to the economy. The Mozambican economy also benefits from the transit of goods to and from the African interior. Investment in infrastructure for the Beira, Nacala and Maputo Corridors, which respectively link Zimbabwe, Malawi and South Africa's Gauteng province to the Indian Ocean, has increased in recent years. Moçambique has also increasingly become a less donor-dependent country with Official Development Assistance (ODA) accounting for 19.4 percent of GDP in 2005 as compared with 40.5 percent in 1990.

However, Mozambique is one of the poorest developing countries in the world. It is ranked 172nd in the human development index (HDI) out of 177 countries and 127th out of the 135 countries on the Human Poverty Index (2007/8) (UNDP, 2007). About 74 percent of the populations survive on less than US$2 a day while 36 percent survive on less than US$1 a day. Moçambique has a life expectancy of 42.8 and ranks 156th in the world in under-five mortality rate. Fifty-seven percent of the population had no access to clean drinking water in 2004 and only 32 percent were using improved sanitation facilities. Fifty-six percent of the population is under-nourished with under-five mortality rate being 145 per 1000 live births. On the inequality between men and women, Moçambique ranks 128th out of 157 countries on the gender related development index. About sixty-one percent of the adult population is illiterate.

Moçambique traditionally suffers from disasters triggered by weather-related hazards such as droughts, floods and some types of epidemic. Between 1983 and 2008, 2,096 deaths were related to epidemics. In 1981, 100,000 were killed by a disaster triggered by drought while more than 16.5 million people were affected by drought between 1981 and 2008. Similarly, between 1971 and 2008, 1,600 and more than 5.5 were killed and affected by floods

respectively. In 1994, storms killed 240 people and affected more than 2.5 million people (CRED, 2008). Disasters have cost the Government of Moçambique more than US$1 billion with floods accounting for 86 percent. About 1.5 million people live with HIV and AIDS, one of the largest HIV and AIDS population in the world, with an adult prevalence rate of 12.5 percent (UNAIDS, 2006).

Thus, Kukumbi as one of the development agencies has a role to play to reduce vulnerability of communities in Moçambique and also complement government efforts to achieve national and international set goals such as the National Action Plan for the Reduction of Absolute Poverty (PARPA II), MDG, and Hyogo Framework 2005-2015.

Context of Zambézia Province

Zambézia province is the second most populous provinces of Mozambique with an estimated population of more than 3.8 million. Socio-economic and human development indicators fall far below the national average and it is classified as one the poorest provinces in the country. More than ninety percent of these populations rely on farming and fishing as the main sources of income, although more than seventy percent still live under the poverty line. Mortality and fertility rates are the highest in the country while the life expectancy of 36 is also the lowest in the country. Illiteracy rate of 75 percent and 42 percent for women and men respectively are among the highest in the country. Zambézia is greatly affected by HIV and AIDS, having a prevalence rate of about 19.2 percent. These high levels of HIV and AIDS have subsequently led to increases in the numbers of vulnerable people. In Zambézia women and girls are the worst hit by this pandemic because apart from them being infected as well (more than 50 percent of infected people are women), they have a greater role in taking care of the sick. In the majority of cases, grandmothers have become primary carers of OVCs, yet grandmothers lack physical and economical capacity to satisfy basic needs of these children.

The location of Zambézia has made it vulnerable to floods and even droughts. The rainy season of 2006-2007 saw serious floods that not only displaced people but also had effects on their normal sources of income. This situation puts a lot of pressure on food security, and limits access to basic services like education, building assets and health care. Despite the existence of G20, a group of CSOs involved in monitoring the progress of the implementation of the PRSP at national level, there is little, if any awareness of the existence of G20. Its activities and links to decentralization process are very limited, if any at all. In addition, the planning process is centralized at provincial level despite the existence of LOLE

8/2003 the legislative policy which empowers decentralized units to make decisions at the local level. The formation of Kukumbi by local people in Zambézia province is a demonstration of their concern and determination to reduce vulnerability and increase the resilience of communities to natural and human-made hazards, through community empowerment. Box 2.2 provides examples of advocacy issues identified by Kukumbi staff.

Box 2.2 Examples of Advocacy Issues

1. ***Capacity*** - There is limited capacity for planning and implementing sustainable development programmes in Zambezia Province. Due to weak development institutions.
2. ***Participation*** – There is lack of community-wide participation in development, disaster risk reduction and HIV and AIDS reduction process and outcomes. Current development programmes are responding to the effects of deep-rooted problems instead of addressing root causes of poverty and vulnerability.
3. ***Coordination –*** Weak coordination among development agencies results in duplication and wastage of resources
4. ***Donor dependency*** – High donor dependency has disempowered communities which has increased vulnerability
5. ***Transparency and accountability*** – There is lack of transparency and accountability by government and development agencies, including NGOs, in the way they conduct their business in Zambezia Province
6. ***Control of resources*** – there is lack of access to resources and sharing of benefit arising from their utilisation

Clear understanding of power relations can guide Kukumbi's targets for advocacy work. Some of the questions which may guide Kukumbi to identify advocates targets include:

- Who are the people excluded in decision-making in the development process?
- Who has power to decide who has to be excluded, or included in decision-making in the development process?
- Who stands to gain or lose from those decisions, and what influence do they have on the decision-maker?
- Who is responsible for shaping and deciding the particular development sector policy?
- Who and what influences the decision-maker?
- What influence do decision-makers have in giving or denying people access to participate in the development process?
- What environments do decision-makers work in; what are the challenges and barriers they face in making decisions about making participation in development more accessible?
- How is finance allocated and distributed?[4]

[4] Questions adapted from the Scottish Independence Advocacy Alliance Source Book

2.3 Participation spaces

Advocacy work is about understanding participation spaces which include or exclude community-wide participation in decision-making in development processes in Zambezia Province. They can be categorised into three:

Closed or provided spaces*:* Decisions are made by a set of designated actors such as elected representatives and experts behind closed doors without any scope for broader community consultation and involvement.

Invited spaces*:* stakeholders, including the target population or service users are invited to participate by authorities, such as governments and NGOs. Invited spaces may be regularised or temporary such as an annual forum or a consultation on a particular issue.

Created or claimed spaces: created or claimed by citizens independently of government or by government and citizens together. They can emerge out of a common concern such as making ARVs more accessible to PLWHA.

2.4 Conclusion

Advocacy means taking action on clearly identified problems to bring about change you are seeking. Affected communities should be at the centre of any advocacy project so the can create or claim their spaces in order to enable them have control over their lives. The next chapter explores the advocacy cycle and its components.

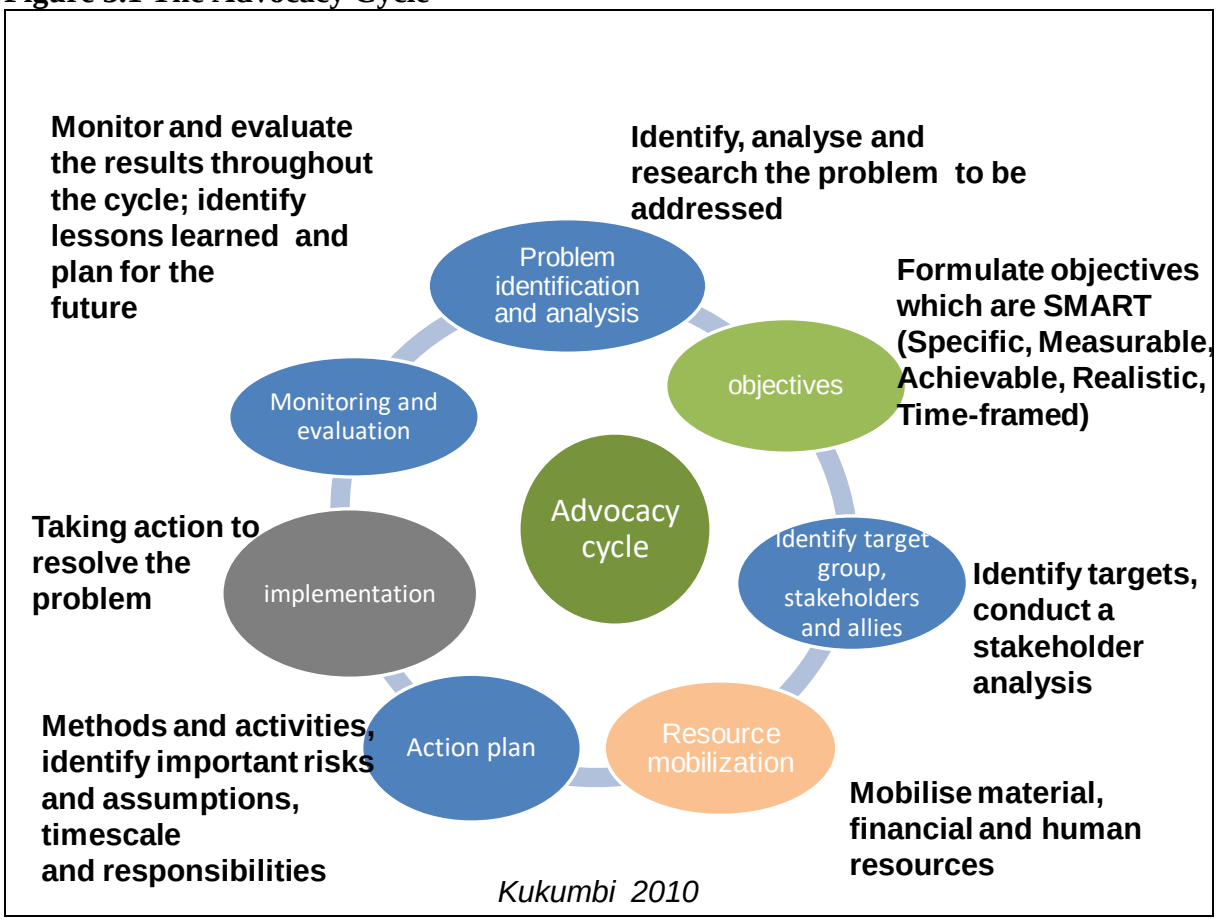
CHAPTER THREE

THE ADVOCACY CYCLE

3.1 Advocacy Cycle

Advocacy work can be planned into stages like any other project. Like the project cycle which guides projects, advocacy can be guided by an advocacy cycle (see Figure 3.1). Advocacy initiatives follow some sequential steps from problem identification to end of the project. The advocacy stages although presented in a cycle or linear model, in practice the stages may overlap and with varying implementation processes.

Figure 3.1 The Advocacy Cycle



3.2 Problem identification

Problem identification is the first stage of an advocacy initiative. The problem that the advocacy initiative wants to address should be analysed by identifying the root causes and effects of the problem, those affected by the problem and those who are benefiting from the problem. In the majority of cases, problem identification can be a challenging process. The problem identification process can be quicker if the affected group or community engages in

a process of dialogue around their needs. Below are some of the ways problems are identified.

- Have dialogue with community
- Effects of the problem
- Approaching the community
- (Good) Listening
- Consultation of community
- Observation
- News reports from media
- Identifying root causes of the problemThe issues should fall into Kukumbi's priorities (see strategic plan)
- Chatting and listening
- Semi-structured interviews
- Focus group
- Community mapping

Once the problem has identified the next three steps is to:

1. Summarise the data collected
2. Group the needs
3. Ask participants to rank them in order of priority

Not all problems need an advocacy approach. Some may need interventions that respond to practical rather than strategic needs such as food aid, vaccinations or construction of hospital or clinic. This brings the question: What is a good advocacy issue? A good advocacy issues has some of the following attributes:

- Adopts community participation principles
- Actions are based on well-researched information
- Adopts the RBA principles
- Focus on strengthening local good governance
- Results in poverty and illiteracy reduction
- Beneficiaries own the process and the outcome
- The problem is widely and deeply felt
- Participation of marginalised groups
- Promotes awareness and respect of other rights
- Potential for raising funds
- Promotes achievement of Kukumbi's vision and mission
- Has a clear target, time frame, resources and related to policy

3.3 Research and analysis

Problem research and analysis identifies the negative aspects of an existing situation and establishes the 'causes and effect' relationship between the problems that exist. Analysing the problem helps to distinguish the root causes of the problem from the effects or symptoms of

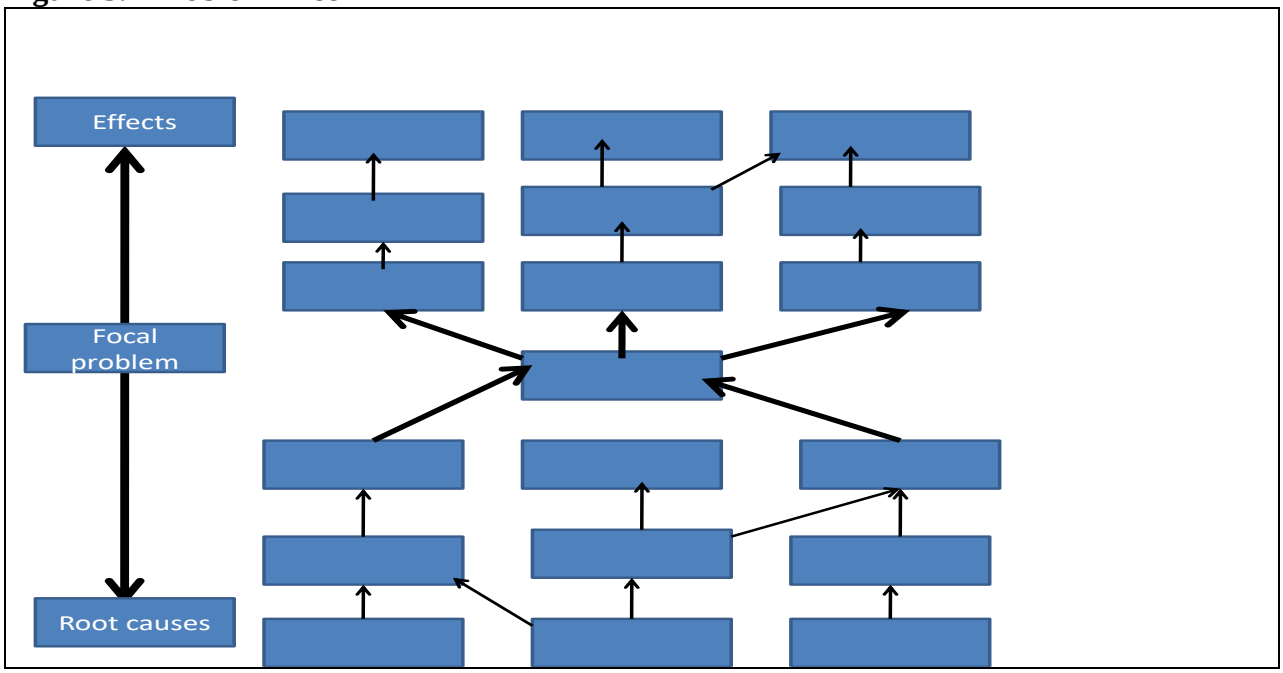
the problem. There are various ways of conducting research and analysing the problem. One of the ways is to use a problem analysis framework (see Table 3.1).

Table 3.1 Analysing the issue of Poverty in Zambezia Province

Sub-issue	Consequences	Causes	Solutions
Sub-issue 1	Unemployment	Lack of schools	Provision of schools
Sub-issue 2	Malnutrition	Lack of food	Sustainable livelihoods
Sub-issue 3	Gender-based violence	Poor household income	Gendered income generation projects

Problem analysis can be aided by using a problem tree (see Figure 3.2). Problem tree analysis helps to find solutions by mapping out the cause and effect around an issue in a similar.

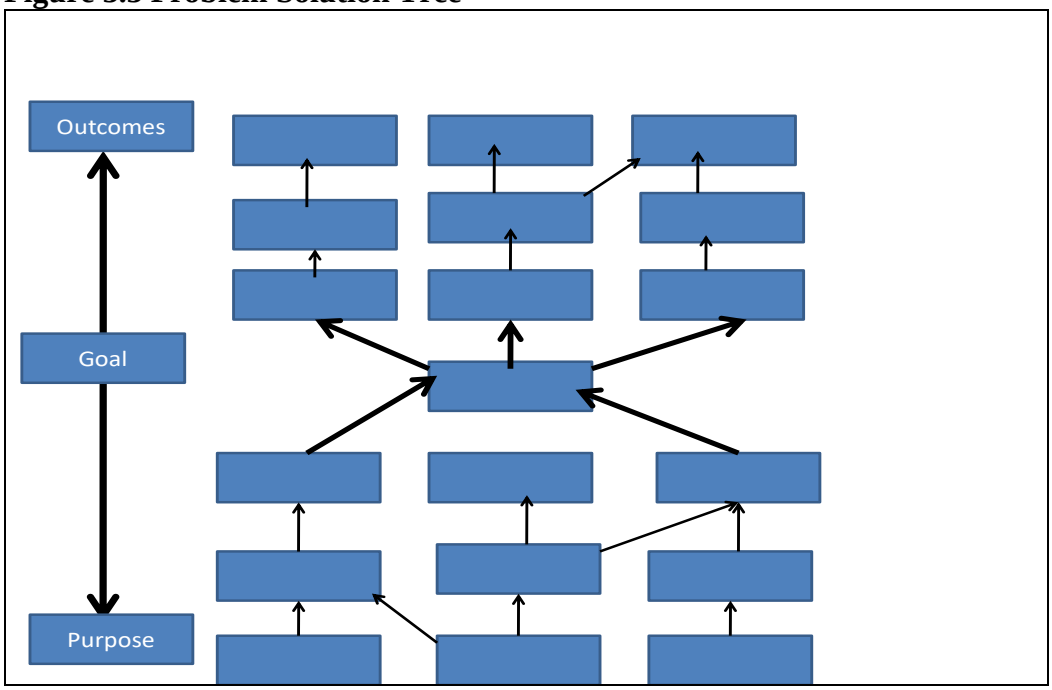
Figure 3.2 Problem Tree



After the problem tree analysis follows the analysis of objectives. This analysis includes:

1. the translation of the negative situations in the problem tree into a realised positive
2. state (the objectives) for example, 'high poverty incidence in Zambezi Province' is converted into 'poverty reduced in Zambezia Province';
3. verification of the hierarchy of objectives;
4. visualisation of means-end relationships in a diagram as shown in Figure 3.3.

Figure 3.3 Problem Solution Tree



Problem analysis tools are detailed in Annex 1.

3.4 Objectives

Once the problem has been researched and analysed, the next step is to define the objectives. Objectives are the intended impact, effects and the specific change that will be brought about your work. Having clearly defined objectives will contribute to the efficiency and effectiveness of the project's desired change. The objectives should be SMART(ER) meaning they should be:

Specific, **M**easurable, **A**chievable, **R**ealistic, **T**imeframe + **E**njoyable, **R**ewarding

The objectives should state exactly *what* you want to happen, by *when*, to *who* and *where.* Box 3.1 lists some of the key points about objectives.

Box 3.1 Key points about objectives

1. Objectives can be long-term or short-term and it is wise to have a variety of these. Short-term objectives, when fulfilled, give encouragement early on and help you to see whether activities are going in the right direction.
2. Long-term objectives usually focus on changing institutions' policy or practice that affects the community. The short-term objectives may focus on smaller policy and practice change, attitude change by the target group or raising awareness.
3. It may be necessary to achieve some of the short-term objectives before you can achieve the long-term ones. For example, women need to believe that they can make a difference to their village before they become involved in the committees.

Source: Tearfund (2002)

The following are some of the objectives that were drawn by Kukumbi staff.

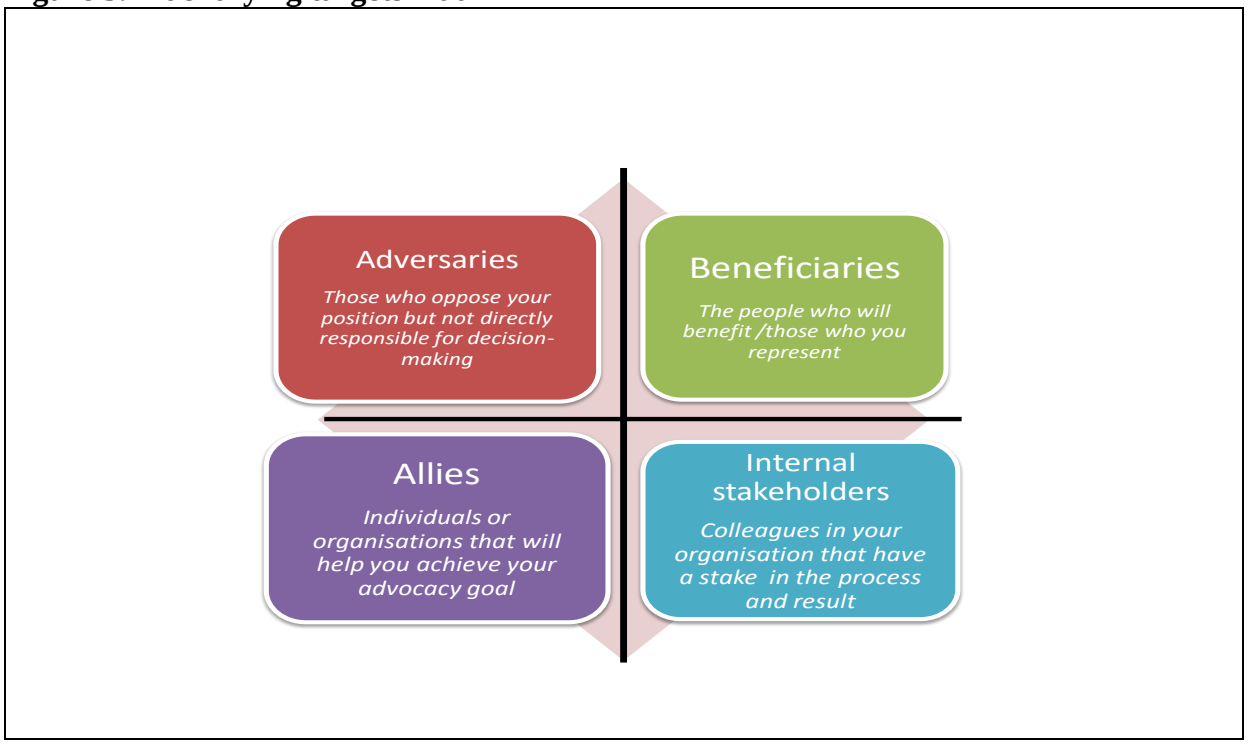
1. To increase the primary school enrolment of girl-children by 5% in five poorest areas of Mocuba district within twelve months
2. To improve the monitoring of the district development plan of CCL members in 4 PAs in Morrumbala District by 2013.
3. To strengthen community organisation and participation in decision-making in Morrumbala, Milange and Mocuba districts by 2013.

3.5 Identifying Advocacy Targets

Advocacy work is about influencing those with power to change. These include traditional leaders, government heads of department and political leaders. By now you would have identified the problem and the aspects that need to be changed, including political and other factors. One of the ways of identifying targets is to use a matrix in Figure 3.4. The matrix can help identifying:

1. Adversaries – those who will oppose the position taken by, for example, Kukumbi staff
2. Beneficiaries – those people who will benefit from the project. There is need to identify the primary and secondary beneficiaries
3. Allies – these are individuals or organisations that will support you in achieving your advocacy initiative
4. Internal stakeholders – these are colleagues within the organisations that have interest or a role to play in the process of achieving the desired goal.

Figure 3.4 Identifying targets matrix



Keep points about identifying adversaries, allies, beneficiaries and internal stakeholders are summarised in Box 3.2.

Box 3.2 Key points: identifying adversaries, allies, beneficiaries and stakeholders

1. Allies and opponents are not fixed positions – individuals and organisations are open to change.
2. In addition to trying to influence stakeholders so that they move towards the right side of the matrix, you also need to work with those who are not yet stakeholders to try and bring them on board as your allies.
3. You need to continue to work with your allies so that they do not become your opponents!
4. You should be trying to enable the poor to have greater influence themselves so that they move towards the top of the matrix.
5. There may be situations when you cannot gain direct access to policy makers, but you can influence others who have direct access to them. For example, you do not have direct access to the bishop, but can go to your church leader who does have access to him.
6. You need also to understand your own power to be able to influence stakeholders

Source: Tearfund (2002)

3.6 Stakeholder analysis

Successful advocacy projects conduct an intensive stakeholder analysis to ensure the voices of all people and groups who have an interest in the project are taken into account (see Box 3.3).

Box 3.3 Stakeholder analysis

A stakeholder is any individual, community, group or organisation with an interest in the outcome of a programme, either as a result of being affected by it positively or negatively, or by being able to influence the activity in a positive or negative way.
There three types of stakeholders:

- **Key stakeholders.** Those who can significantly influence or are important to the success of an activity.
- **Primary stakeholders.** Those individuals and groups who are ultimately affected by an activity, either as beneficiaries (positively impacted) or disbeneficiaries (adversely impacted)
- **Secondary stakeholders**. All other individuals or institutions with a stake, interest or intermediary role in the activity.

DFID (2002)

A stakeholder analysis can assist an organisation to identify ways of enhancing the support of those in favour of the project while devising ways of those who are against it. Stakeholder interests may affect or be affected by a programme – these may be due to:

- Potential conflicts and risks that could jeopardise a programme;
- Opportunities and relationships to build upon in implementing a programme to help make it a success;

- The groups that should be encouraged to participate in different stages of the activity cycle;
- Ways to improve the programme and reduce, or hopefully remove, negative impacts on vulnerable and disadvantaged groups (Tools for Development, DFID, 2002).

The main steps in involved in stakeholder analysis are:

1. Identify the general advocacy problem or opportunity being addressed or considered.
2. Identify all those groups who have a significant interest in the potential advocacy project.
3. Investigate their strengths, weaknesses, respective roles, different interests, relative power and capacity to participate.
4. Identify and analyse the extent of anticipated cooperation or conflict in the relationship between stakeholders, and
5. Interpret the findings of the analysis and incorporate relevant information into the project design to help ensure that the (i) resources are appropriately targeted to meet the distributional/ equity objectives and the needs of priority groups (ii) management and coordination arrangements are appropriate to promote stakeholder ownership and participation; (iii) conflicts of stakeholder interest are recognised and clearly addressed in the project design.

As equity is one of the major aspects addressed, gender analysis is therefore a core element of stakeholder analysis[5].

Stakeholder Analysis Tools can be found in Annex 2.

3.7 Advocacy Message

A clear message is an essential element in advocacy. The advocacy message clarifies and summarises your position in relation to the desired change which is communicated to the target group, stakeholders, allies and opponents. A simple advocacy message can unite people across the board from external audiences, policy makers, practitioners, academics through to local communities.

Defining advocacy message

- Communication of the advocacy message to stakeholders and allies is central to effective advocacy
- Presentation of the message(s) to external audiences, from policy makers to affected communities in critical
- Creating a single message enables all stakeholders to be united in the advocacy message
- Note that no issue is seen as completely just or right to all individuals or parties
- Framing the message demands both a detailed and comprehensive of the targets and knowledge of the issue

[5] See European Commission, Aid Delivery Methods: Project Cycle Management Guidelines 2004 (page 61).

- The message should not be a slogan
- It should be a short phrase which specifies the main message which target audience should remember easily
- Test your single message on other people before use

- A clear message should have some of the following:
  - Summarise the change you want to bring about
  - Short and punchy – one or two sentences
  - Understood by someone who doesn't know the issue and be jargon free
  - Has a deadline when to achieve the objective
  - States reasons why it is important
  - Includes an action you want the audience to take
  - Memorable
  - Incorporate words, phrases or ideas that have positive aspects / particular significance to a target group.
  - Words such as family, independence, well-being, community, development

An example of an advocacy message:

'Government need to enable communities to make decisions in the development that affects them within the next five years'

Human interest story (broadcast and press)

Pedro, a farmer aged 30, has four children and would like to have another child. His wife, Celeste is happy with four children and after having a very difficult last pregnancy she would like to avoid another, but will ultimately respect her husband's wishes. Pedro and Celeste have not discussed the subject with one another. Kukumbi's Family Education Project recently distributed booklets and ran a series of radio programs on the economic benefits of smaller families. Pedro heard the program. 'I have always wanted a large family, but I would like to provide adequately for the children I have now'. He is now more interested in discussing the issue with his wife.

To communicate an advocacy message to an audience, an appropriate medium is essential. Table 3.2 was completed by Kukumbi staff. They listed four message mediums, their advantages and disadvantages

Table 3.2 Advocacy Message

Message medium	Advantages	Disadvantage
Television	greater coverage in urban zone; audio-visual; use of local language	does not cover rural zone; partisan
Radio	major coverage nationwide; use of local languages; low costs.	poor transmission; low radio ownership.
News paper	good for urban areas where people are literate	do not cover the rural zones; the language used is official; the message reaches late
Verbal communication	work with focal groups in the community; less expensive	reduced dissemination of messages by participants; distortion of message

Message medium

List advantages and disadvantages of the following message mediums:

- formal or informal face-to-face meetings
- informal conversations at social, religious, political, or business gatherings
- letters: personal, organizational, or coalition
- briefing meetings
- program site visits
- fact sheets
- pamphlets or brochures
- graphics or illustrations
- short video presentations
- computer presentations
- interactive computer modeling programs
- overhead or slide presentations
- newspaper articles or advertisements
- broadcast commentary or coverage
- conference paper

Messenger

The message medium is not an end in itself. The message needs a messenger who should be carefully identified. Some of the messengers include member of staff, an organisation, independent expert, celebrity, neutral narrator (traditional/religious leader) and beneficiary.

Activity

Complete the following table

Audience	
Action you want the audience to take	
Message content	
Medium	
Messenger	
Time and place for delivery	

3.8 Implementing an advocacy project

Effective implementation of an advocacy project is partly dependent on the qualities of an advocacy officer. Table3.3 summarise qualities of a good advocacy officer identified by Kukumbi staff.

Table 3.3 Characteristics of a good advocacy officer

Be realistic Clear objectives Knowledgeable Respect Punctuality Good listener Honesty Creativity	Humility Truthfulness Confidentiality Integrity Consistency (of position / policy) Appropriate contacts Coordination

An advocacy officer should be guided by lobbying and advocacy guidelines. Some of the lobby and advocacy guidelines are summarised in Table 3.4

Table 3.4 Lobbying and advocacy guidelines

Key Principles	**Action**
Respect	Staff should show respect. They can criticise actions and policies but should not make personal attacks on individual policy makers.
Truthfulness	Staff should accurately represent their own position and that of others, providing evidence for any claims they make
Confidentiality	Staff should not reveal confidential information offered by a policy-maker to a third party without their permission.
Integrity	Staff should ensure that any issues that they have asked decision-makers to address, should also be addressed internally.
Consistency of position / policy	Staff should not claim policy status for their views where no policy exists. Each should refer to their line manager in case of doubt.
Appropriate Contacts	Staff should register all intended meetings with policy makers with their line manager. Where there is cause for doubt about the appropriateness of a meeting, the line manager will decide whether it should proceed.
Coordination	Staff should register all such meetings with the Public Policy Team, along with any significant feedback and copies of significant correspondence, so that the Public Policy Team can co-ordinate contacts and brief staff where necessary.

An effective advocacy project should be guided by an appropriate method. Some of the methods are summarised in Table 3.5

Table 3.5 Advocacy Methods

METHOD	EXPLANATION	COMMON USE	EXAMPLES
Networking	Building alliances with as many people as possible Creating a movement for change	For any long-term advocacy activity to make it sustainable When you do not have the skills or strength in numbers	Meeting other community leaders Sharing information via email Joint conferences
Lobbying	Speaking directly to the target to explain in detail the problem and the proposed solution	When target is open and will listen to facts and careful argument	Meetings Phone calls Briefing document Public meetings
Raising awareness	Informing people of the situation so that they are aware of the issues Often the first step in an advocacy process	When information is hidden When issues are complex To build confidence	Training Community meetings Church services Posters and leaflets
Mobilising	Closely connected with awareness raising and media Involves harnessing 'public pressure' so that as many people as possible will contact decision-makers and call for change	When policy-maker can be swayed by public opinion To show strength of feeling To use strength in numbers and organisation	Letter writing by public Marches and rallies
Media	Using the radio, newspapers and television (owned by others as opposed to using your own media, e.g.: newsletter)	When you cannot get direct access to policy makers To reach those outside the local area	Radio phone-in Press release to newspaper Briefing a journalist

Source: Tearfund (2002)

3.9 Advocacy negotiating skills

In negotiation helps the advocates to obtain the most favorable outcomes possible to resolve the identified problem. Good negotiating skills enable you to ensure that others understand the point you are making and help you to persuade others to take your suggested course of action. Bad habits in negotiating can quickly alienate those you are speaking to and undermine your message (see Table 3.6)

Table 3.6 Negotiating guidelines

Helpful	Unhelpful
WIN-WIN Seek solutions that will be beneficial to both parties. Be willing to compromise on some areas, but be very clear about what you will not negotiate. Try to think of what you can offer so that the other party is satisfied.	**EMOTIVE APPROACH** Using subjective or emotive words adds nothing to your case but simply accuses the other side of being unfair or unreasonable.
ASK QUESTIONS so that you can identify areas where you may both benefit. This also helps you to avoid a spiral of attacking and defending.	**DEFEND/ATTACK SPIRALS** If you do not listen to the other point of view and simply defend your own position, an argument can result and it is harder to persuade others.
SEEK PERMISSION This puts you in control without having to battle to speak. 'I would like to suggest that…' or 'could I ask…?'	**LISTING** arguments, reasons and information to strengthen the proposal can annoy the listener and make them forget the main points.
TEST AND SUMMARISE Ensure that everyone has understood and interpreted things in the same way and agrees on action points. This helps build trust and avoids confusion and relationship breakdown later on.	**COUNTER-PROPOSALS** If you counter every suggestion by the other party with one of your own, it will become harder to persuade them.
EXPLAIN YOUR MOTIVES to the other parties so that they are clear why you are proposing a particular course of action. Do not leave them guessing about hidden agendas.	**ANGER** Shouting at someone could discredit your message, and suggest that you have weak arguments.
BE SENSITIVE to a change in mood, to unexpected revelations or reactions, to defensive responses, to boredom or lack of interest – and change your approach accordingly.	**RIDICULE/DISRESPECT** This will cause the other person to close up and they may even close the meeting early.
KNOW WHEN TO STOP Be aware of how far you can push a particular line of questioning, and be prepared to meet again later on if necessary.	**INTERRUPTIONS** This can annoy the person speaking, and others, who will think you are not listening, and they may do the same to you.
LISTEN AND ENGAGE Listen to concerns and try and respond to them. Let them speak first if necessary.	**MAKING IT PERSONAL** This can lead to people being offended and insulted and does not necessarily address the problem.

Mobilsing people for action

- INCLUDE THOSE WHO ARE AFFECTED BY THE PROBLEM, so they take responsibility for advocating for their own issues
- CLARIFY WHAT YOU ARE TRYING TO ACHIEVE by mobilising people, so that your actions are not confused.
- CHOOSE YOUR METHODS CAREFULLY, both according to what will be effective and appropriate, and what people are likely to be willing to do

- HAVE A CLEAR MESSAGE, using slogans if appropriate
- ENCOURAGE EASY ACTIONS so that people will readily become involved and act. Many people doing a basic action such as signing a petition can be more powerful than a few people doing a more complicated action such as writing a complex letter
- MAKE EVENTS FUN, such as holding a carnival or march, because this builds solidarity and support
- AVOID VIOLENCE because this will discredit your message and is unlikely to bring about the change you are looking for.

3.10 Major risk in advocacy work

In some countries advocacy work can be a risk venture; it can be pose endanger people's lives as well as those for advocates themselves. Speaking openly against oppressive political, economic, religious and cultural systems can lead have serious negative consequences. Some of the risks are summarised in Table 3.7 and 3.8.

Table 3.7 Major Risks in Advocacy Work

Majors risk	**Ways of reducing them**
if incorrect information	Check information with others before going to policy-make
if claim to be speaking for a group you have not consulted	Establish clear lines of accountability and clarify process of deciding policy and consulting stakeholders
if fail to deliver on promises	Be clear about what you will offer to do before you go to a meeting and be clear about who can speak on behalf of the community / group
personal violence	• Build relationships with those in power who could help you in difficult situations • Work in networks to give strength in numbers • Work with external allies who are not under the same threat • Treat your opponents with respect so as not to cause them to be violent

Table 3.8 Some of the risks in implementing LOLE

Risks	Probability			Impact			rank	Management of risk
	1	2	3	1	2	3		
Weak government support		2				3	6	Share of reports; meetings and dialogue
Calamities		2				3	6	Work with partners/collaborators as: INGC, FAO, PMA e SCF.
No accompaniment of L.C.	1					3	3	- dialogue with community Leaders; -Lobby with Influents.
Podem ser agredidos/violados	1					3	3	
Considered as opposition party			3			3	9	Transparency on work involving and coordinating with Local Structures
Community does attend meetings	1				2		2	
C.C not interested in work	1					3	3	

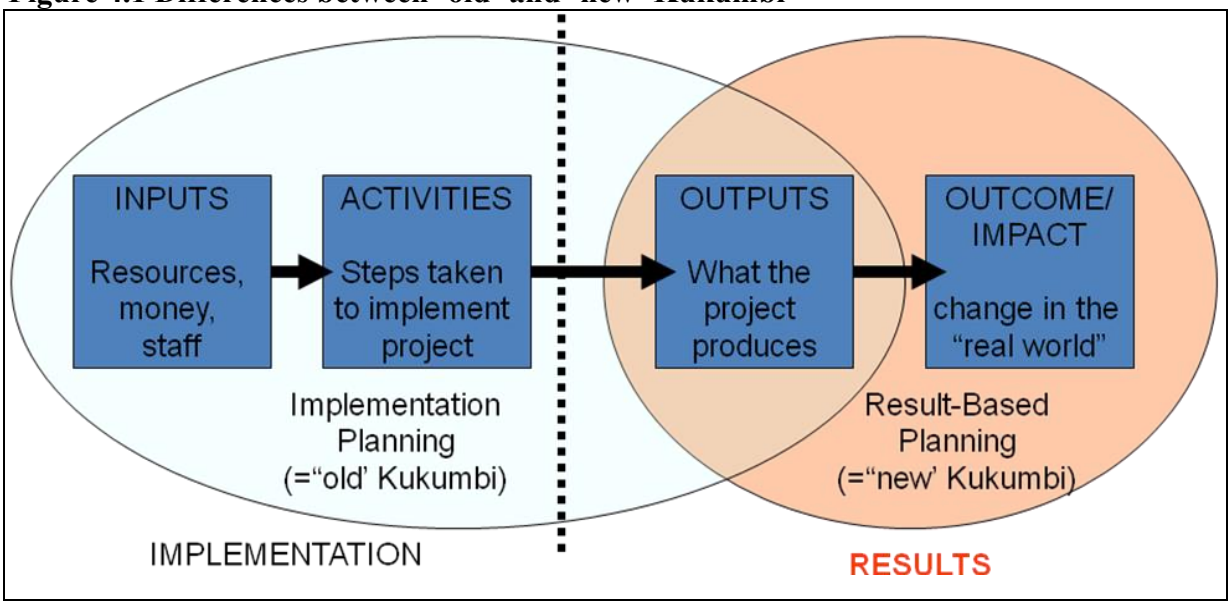
CHPATER FOUR

PLANNING AN ADVOCACY PROJECT

4.1 Results based planning in advocacy work

Since Kukumbi's interest in strategic planning processes in 2007, result-based planning has become central to programme management and reporting. Figure 4.1 illustrates the differences between the 'old' and the 'new' Kukumbi.

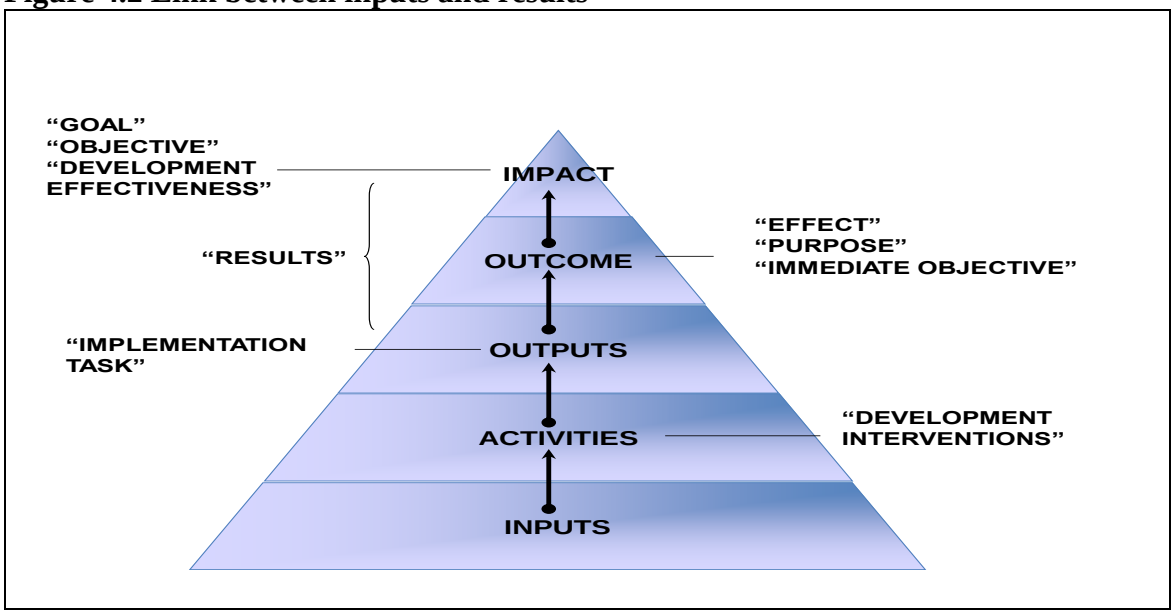
Figure 4.1 Differences between 'old' and 'new' Kukumbi



Results-based planning ensures that the sum of Kukumbi's interventions is sufficient to achieve the expected result. This will also ensure that all available financial and human resources continue to support the planned results. Results-based planning has a logic chain which links resource inputs and results (see Figure 4.1). Results are an important component of results-based planning and can be understood as:

- "changes in a state or condition which derive from a cause-and-effect relationship" (UNDP 2001)
- "[as above;] there are four types of such changes (intended or unintended, positive or negative) which can be set in motion by a development intervention – its output, outcome and impact" (UN 2005)

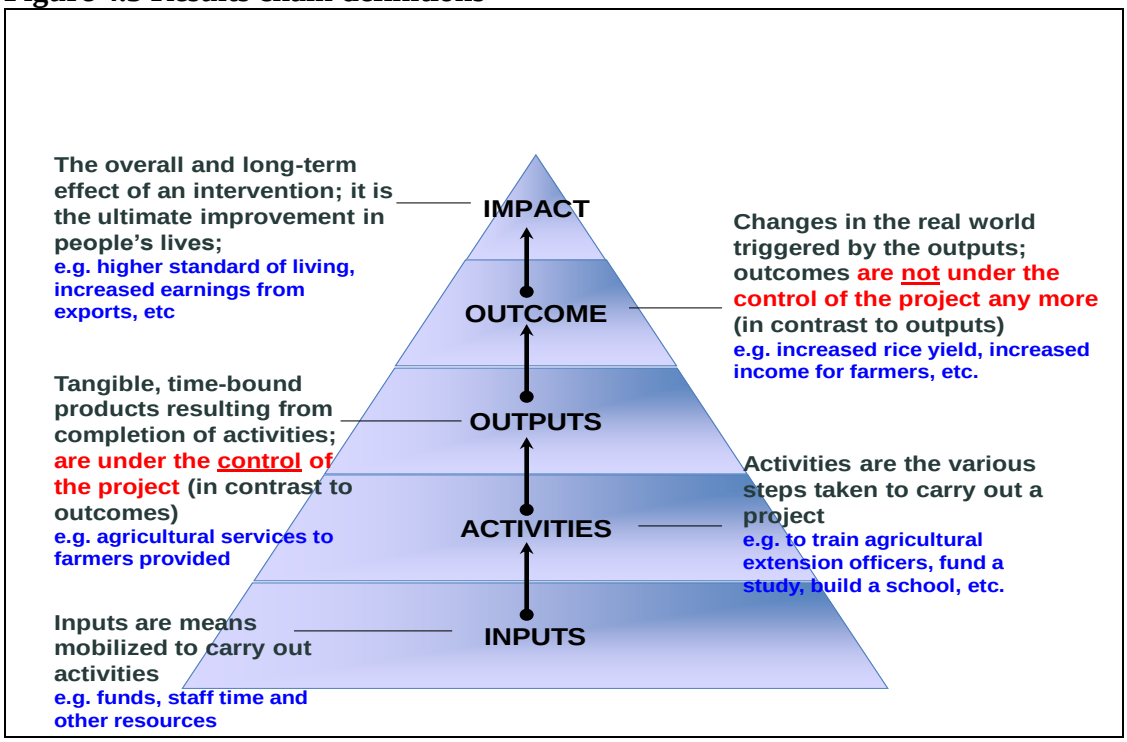
Figure 4.2 Link between inputs and results



Results-based planning

- is a planning strategy by which an organization ensures that its processes, products and services contribute to the achievement of desired results (outputs, outcomes and impacts). See Figure 4.3 which defines the components of the results chain
- rests on clearly defined accountability for results, and requires monitoring and self-assessment of progress towards results and reporting on performance.

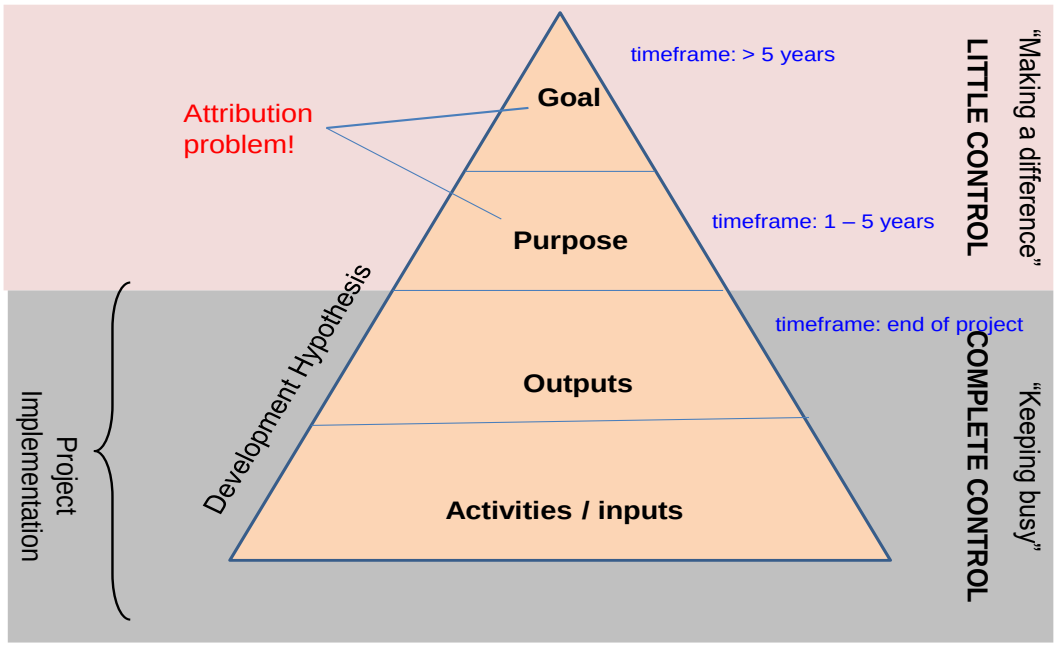
Figure 4.3 Results chain definitions



As a way of simplifying results-based planning, it could be thought of as the difference between keeping busy or making a difference:

1. even efficient and well-managed projects and outputs lose their relevance if they do not clearly lead to improvement in people's lives;
2. to demonstrate how and where the organization is making a measurable contribution to the elimination of poverty

Figure 4.4 Making a difference and keeping busy



4.2 The Logical Framework Approach

The Logical Framework Approach (LFA) is one of the most popular results-based planning and management approaches which has become widely used by development organisations to strengthen activity design, implementation and evaluation. The LFA was developed in the late 1960s by the United States Agency for International Development (USAID) to improve its project planning and evaluation system. The LFA

1. helps identify what is to be achieved, and to determine to what degree the planned activity fits into broader or higher-level strategies;

2. helps determine role(s) of different participants, and provide an accurate schedule of the actions that will need to be undertaken
3. focus discussions about amendments and alterations to an activity in the light of experience, while the activity is under way

The LFA has been adopted as a planning and management tool for Kukumbi in order to:

1. Achieve stakeholder consensus
2. Organise thinking
3. Relate activities and investment to expected results
4. Set performance indicators
5. Allocate responsibilities
6. Communicate concisely and unambiguously with all key stakeholders

The LFA does not provide magical solutions to project planning problems. However, if it understood and appropriately applied, it is a very effective analytical tool. It is not a substitute for experience and professional judgement and must also be complemented by other tools such gender analysis, vulnerability and capacity assessment, environmental impact assessment, and economic and financial appraisal. Table 4.1 lists the advantages and disadvantages of the LFA.

Table 4.1 Advantages and disadvantages of LFA

Advantages	**Disadvantages**
• draws together all key components of the planned activity into a clear set of statements • acts as an aid to the exchange of views amongst all those involved. • enables possible responses to weaknesses in past designs easy to learn how to use • Used for design and appraisal processes • anticipates implementation and helps plan out development activities • sets up a framework for monitoring and evaluation where planned and actual results can be compared	• The process of problem analysis can result in a limited vision; a negative focus may pervade the rest of the logframe process. • Starting with a problem analysis can be difficult in cultures where it is considered to be inappropriate to openly discuss problems or be critical of others • Starting with a problem analysis is often not a suitable strategy where there is a great deal of uncertainty or where agreement cannot be reached on the main problem • Over-emphasis on objectives and external factors specified during design can cause rigidity in programme management. This can stifle innovative thinking and adaptive management. • Not a substitute for other technical, economic, social and environmental analyses.

The Logframe matrix or Logframe has four columns and usually four or five rows, depending on the number of levels of objectives used to explain the means-ends relationship of the activity (see Table 4.2). The Logframe has the vertical and horizontal logic. The vertical logic

(reading up and down columns 1 and 4 of the matrix) clarifies the causal relationships between the different levels of objectives (column 1), and specifies the important assumptions and uncertainties beyond the activity manager's control (column 4).

The horizontal logic (reading across the rows of the matrix) defines how the activity objectives specified in column 1 of the Logframe (e.g. Goal, Purpose, Outputs) will be measured (column 2) and the means by which the measurement will be verified (column 3). This provides a framework for activity monitoring and evaluation.

Table 4.2 The Logical Framework Matrix

Project Structure	**Indicators of achievement**	**Means of verification**	**Important risk and assumptions**
Goal What are the wider objectives which the activity will help achieve? Longer term programme impact	What are the quantitative measures or qualitative judgements, whether these broad objectives have been achieved?	What sources of information exist or can be provided to allow the goal to be measured?	What external factors are necessary to sustain the objectives in the long run?
Purpose What are the intended immediate effects of the programme or project, what are the benefits, to whom? What improvements or changes will the programme or project bring about? The essential motivation for undertaking the programme or project.	What are the quantitative measures or qualitative judgements, by which achievement of the purpose can be judged?	What sources of information exist or can be provided to allow the achievement of the purpose to be measured?	What external factors are necessary if the purpose is to contribute to achievement of the goal?
Outputs What outputs (deliverables) are to be produced in order to achieve the purpose?	What kind and quality of outputs and by when will they be produced? (QQT: Quantity, Quality, Time)	What are the sources of information to verify the achievement of the outputs?	What are the factors not in control of the project which are liable to restrict the outputs achieving the purpose?
Activities What activities must be achieved to accomplish the outputs?	What kind and quality of activities and by when will they be produced?	What are the sources of information to verify the achievement of the activities?	What factors will restrict the activities from creating the outputs?

The project structure is completed first, then the assumptions, indicators, and finally the means of verification. However, completing the matrix must be approached as an iterative process. As one part of the matrix is completed, there is a need to look back at what has been said in previous parts to review and test whether or not the logic still holds. This process will often require the modification of previous descriptions.

4.3 The Project Structure

The project structure consists of four levels – goal, purpose, outputs and activities. These are explored in the following sections.

Goal

The goal is the main overall objective that the project is meant to contribute to in the long run. Normally, the goal provides the broad picture of the problem being addressed. The goal will depend on a number of related projects or processes beyond the control of the project itself. It is important that the goal is clearly defined and used as a main point of reference by all involved parties during project implementation. This will help clarify decisions and provide a point of reference against which the achievements of the project can be assessed. A common problem in project design is that the goal is too ambitious or not clearly defined, e.g.

- Poverty in rural areas reduced
- Physical environment improved
- Overall standard of living improved
- Average duration of life increased

There is a tendency to use broad, very ambitious goals in order to provide a solid justification for the project. The need for guidance, motivation and verification, however, suggests that a narrow, specific goal should be chosen. This will increase the probability of success. It is important that the goal is realistically defined, i.e. that the purpose will significantly contribute to achieving the goal[6].

Purpose

The purpose sets out the operational purpose, i.e. the situation that is expected to prevail as a consequence of the project. The purpose is the anticipated achievement of the project, outside the project's direct control. In the end it is the purpose that will determine the magnitude of the project both in terms of resources, personnel and strategy. A common problem in development aid is that the purpose is too ambitious, unclear or complex. A project should have only one purpose. This will facilitate guidance, increase motivation and make it more manageable. However, in larger programmes the outputs, and the activities and inputs associated with these could in some cases be seen as separate projects. The purpose or its indicators should specify the intended benefits for the target group, for example:

- Maize production in Mocuba District is increased from an average annual production of 0.5 tonnes 2010 to 1.5 tons by year 2015.
- A self-sustaining credit institution is established by 2015, capable of providing 30% of the region's small farmers with their credit needs

[6] See NORAD (1999) http://www.ccop.or.th/projects/LFA%20by%20NORAD%20Handbook.pdf

Outputs

The outputs are the results that can be guaranteed by the project as a consequence of its activities. The achievement of the purpose presupposes that a number of outputs are produced by the project, at different stages throughout the implementation period. As such, outputs differ substantially from the purpose, which is the effect we hope to achieve as a result of the project.

Activities

An activity is an action which is necessary to transform given inputs into planned outputs within a specified period of time. The activities are the work, the investigations or the tasks to be carried out by the project staff and others involved in the project. For each output there will be one or more activities. The activities included in the project design should be target-oriented in that they are tasks to be performed in order to produce a specified project output. If the task is not geared to producing one of the outputs it should not be listed. Thus, routine administrative tasks should not be included. Only those tasks which are to be undertaken by the project should be listed, with care being taken to distinguish between the project's activities and those which are part of the broader on-going activities of partners to which the project is related.

Inputs

The inputs are the "raw materials" of a project necessary to produce the intended outputs. The inputs are all the resources to be used in the project in terms of funds, personnel, materials, services, etc. The total inputs must realistically reflect what is necessary in order to produce the intended outputs. A common problem in project design is again over-specification of inputs while at the same time the description of objectives and outputs is not specific enough. The description should provide sufficient basis for judging the appropriateness of the inputs to the project. More detailed descriptions of inputs should be done during the detailed planning of the project. These should be then costed into a budget.

4.4 The Horizontal Logic

Objectively Verifiable Indicators (OVIs)

The OVIs specify the performance standard to be reached in order to achieve the development objective, the purpose and the outputs. Indicators provide a basis for monitoring and evaluation. Indicators should specify:

- Target group: for whom
- Quantity: how much
- Quality: how well
- Time: by when
- Location: where

In some cases direct indicators may not be available (they maybe too expensive to develop or too difficult to measure), indirect or proxy indicators can be used. For example:

- Purpose: Increased income of small farmers
- Direct indicator: Crop sales (found that reliable data is not easily gathered)
- Indirect indicator: Purchase of typical consumer items, such as tin roofs on houses etc
- Target group: Low income households
- Quantity: by 50% compared with 2010 figures
- Quality: equitable access to markets
- Time: by 2015 compared to 2010
- Location: Mocuba District, Zambezia Province

Good OVIs should be

- Substantial: reflecting all aspects of the objective in precise terms
- Independent: relate to one objective and used only once
- Factual: reflects facts not impressions
- Plausible: directly attributed to the project
- Obtainable data: available and collected at reasonable efforts
- Result: sufficient number

Means of Verification (MOVs)

Means of verification (MOVs) are documents, reports and other sources providing information to check the extent of achievement of indicators. The MOVs specify

- Test whether OVIs can be realistically measured
- Sources of information from both inside and outside the project
- What information is to be made available?
- In what form?
- Who should provide the information?
- Should specify the format, provider of information and intervals (month, year etc)

The work and costs involved in any information to be produced by the project itself should also be assessed. Indicators for which we cannot identify suitable means of verification must be replaced by other, verifiable indicators. Indicators which, after consideration of costs and usefulness, are found to be too expensive, must be replaced by simpler, cheaper indicators.
Formulating indicators should include specifying their means of verification. Box 4.1 provides a checklist for OVIs and MOVs.

Box 4.1 Checklist for OVIs and MOVs

1. Are the Indicators Quality Quantity and Time-Framed? Time) 2. Are the OVIs and MOVs: • Relevant • Valid • Reliable • Measurable / verifiable • Cost-effective / proportionate? 3. Are the Indicators necessary and sufficient? • Do they provide enough triangulation?	4. Are the Indicators varied enough? Do you have indicators that are: • Product and Process • Direct and Indirect • Formative, Summative and beyond • Qualitative and Quantitative • Cross-sectoral? 5. Who has set / will set the indicators? How will indicators be owned? 6. Are the data collection / MOVs • Already available • Set up where necessary within the programme or project? 7. Is there need for baseline measurement? Source: DFID (2002)

4.6 Important risks and assumptions

Assumptions describe situations, events, conditions or decisions which are necessary for project success, but which are largely or completely beyond the control of the project management. Most projects operate in difficult development environments in which factors outside the control of the project may seriously delay or prevent the achievement of the project's outputs and objectives. It is important to identify assumptions as early as possible and take these into consideration when the project is designed, in order to

1. determine the risks or probability of success
2. avoid serious risks by redesigning the project
3. clarify the area and limits of responsibility of the project management
4. indicate areas where there is a need for more information or further investigations

Like the objectives, the assumptions should be precisely and verifiably defined, as desired ends or conditions. Box 4.2 provides the checklist for risks and assumptions.

Box 4.2 Checklist for Risks and Assumptions

1. Have all the risks been identified?
    - Stakeholder analysis?
    - Problem trees, etc?
2. Are the risks specific? Or too general?
3. Are the risks/assumptions at the right level?
4. Does the logic work?
    - Diagonal logic between Columns 1 and 4
    - Necessary and sufficient?
5. Where risks are manageable, have they been managed?
    - Where possible, have they been turned into Activities and Outputs? i.e. moved into Column 1?
6. What are the pre-conditions?
7. Should the activity proceed in view of the remaining assumptions/risks?

Source: DFID (2002)

Annex 4 shows an example of the Logframe developed for the Zambezia Province Advocacy Project.

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ANNEXES

ANNEX 1

PROBLEM ANALYSIS TOOLS

Problem analysis identifies the negative aspects of an existing situation and establishes the relations between the causes and effects of the problem. It some of the following steps:

1. verification of the subject of analysis;
2. identification of problems related to the subject;
3. make and inventory of all problems perceived by all participants in the workshop;
4. establishment of a cause-effect hierarchy between the problems;
5. visualisation of the cause-effect relations in a diagram.

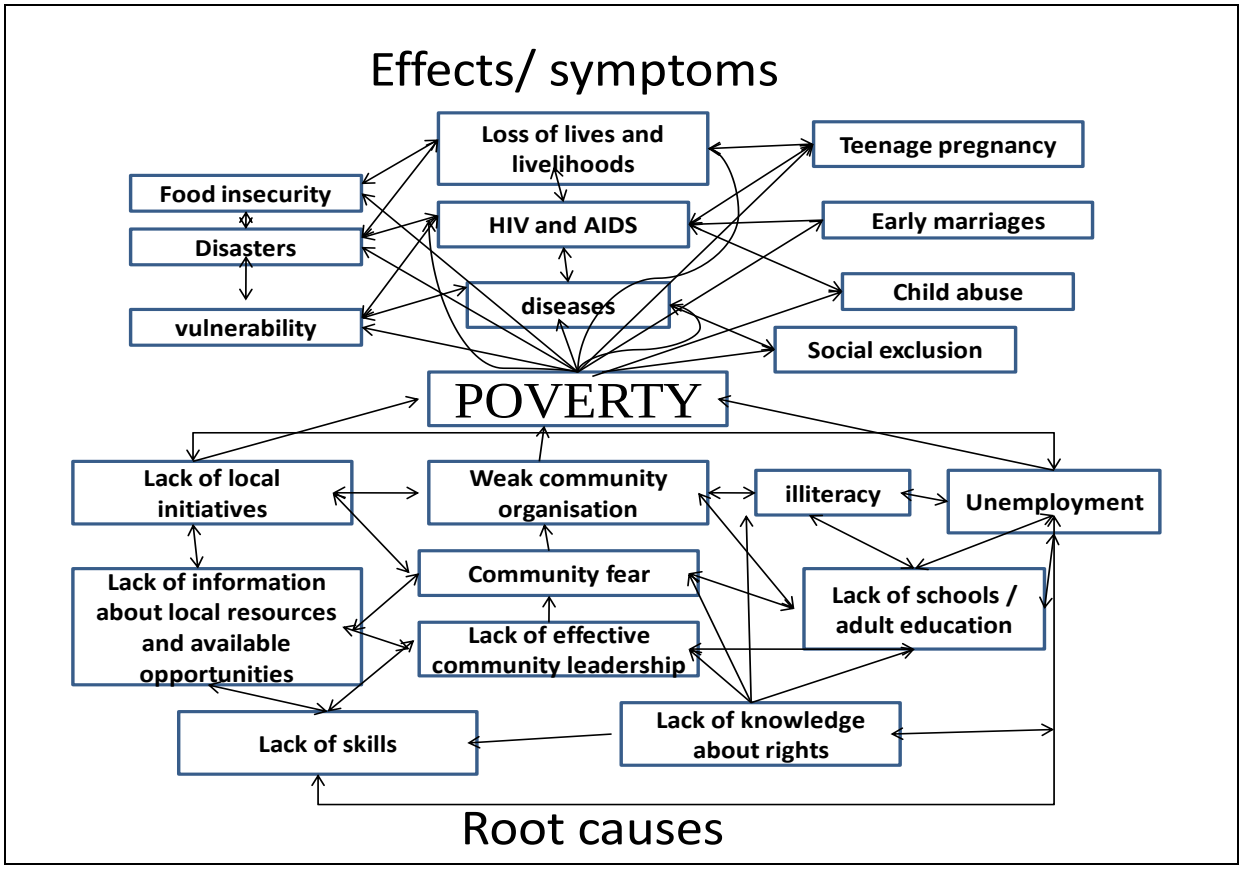
It is important that all participants get the chance to express the problems they experience. It also important to determine whether the different groups of people perceive the problem in the same way; if not the problem should be reformulated or split. One of the tools used in project analysis is a problem tree.
Problem tree analysis is central to many forms of project planning and is well developed among development agencies. Problem tree analysis (also called situational analysis or just Problem analysis) helps to find solutions by mapping out the anatomy of cause and effect around an issue in a similar way to a Mind map, but with more structure. This brings several advantages:

1. The problem can be broken down into manageable and definable chunks. This enables a clearer prioritisation of factors and helps focus objectives;
2. There is more understanding of the problem and its often interconnected and even contradictory causes. This is often the first step in finding win-win solutions;
3. It identifies the constituent issues and arguments, and can help establish who and what the political actors and processes are at each stage;
4. It can help establish whether further information, evidence or resources are needed to make a strong case, or build a convincing solution;
5. Present issues - rather than apparent, future or past issues - are dealt with and identified;
6. The process of analysis often helps build a shared sense of understanding, purpose and action.

Problem tree analysis is best carried out in a small focus group of about six to eight people using flip chart paper or an overhead transparency. It is important that factors can be added as the conversation progresses. The first step is to discuss and agree the problem or issue to be analysed. Do not worry if it seems like a broad topic because the problem tree will help break it down. The problem or issue is written in the centre of the flip chart and becomes the 'trunk' of the tree. This becomes the 'focal problem'. The wording does not need to be exact as the

roots and branches will further define it, but it should describe an actual issue that everyone feels passionately about.
Next, the group identify the causes of the focal problem - these become the roots - and then identify the consequences, which become the branches. These causes and consequences can be created on post-it notes or cards, perhaps individually or in pairs, so that they can be arranged in a cause-and-effect logic.
The heart of the exercise is the discussion, debate and dialogue that is generated as factors are arranged and re-arranged, often forming sub-dividing roots and branches (like a Mind map). Take time to allow people to explain their feelings and reasoning, and record related ideas and points that come up on separate flip chart paper under titles such as solutions, concerns and decisions.
The problem tree in Figure A1 was produced by Kukumbi staff during at a strategic planning workshop.

Figure A1: Poverty Problem Tree



Discussion questions might include:

- Does this represent the reality? Are the economic, political and socio-cultural dimensions to the problem considered?
- Which causes and consequences are getting better, which are getting worse and which are staying the same?
- What are the most serious consequences? Which are of most concern? What criteria are important to us in thinking about a way forward?

- Which causes are easiest / most difficult to address? What possible solutions or options might there be? Where could a policy change help address a cause or consequence, or create a solution?

- What decisions have we made, and what actions have we agreed?

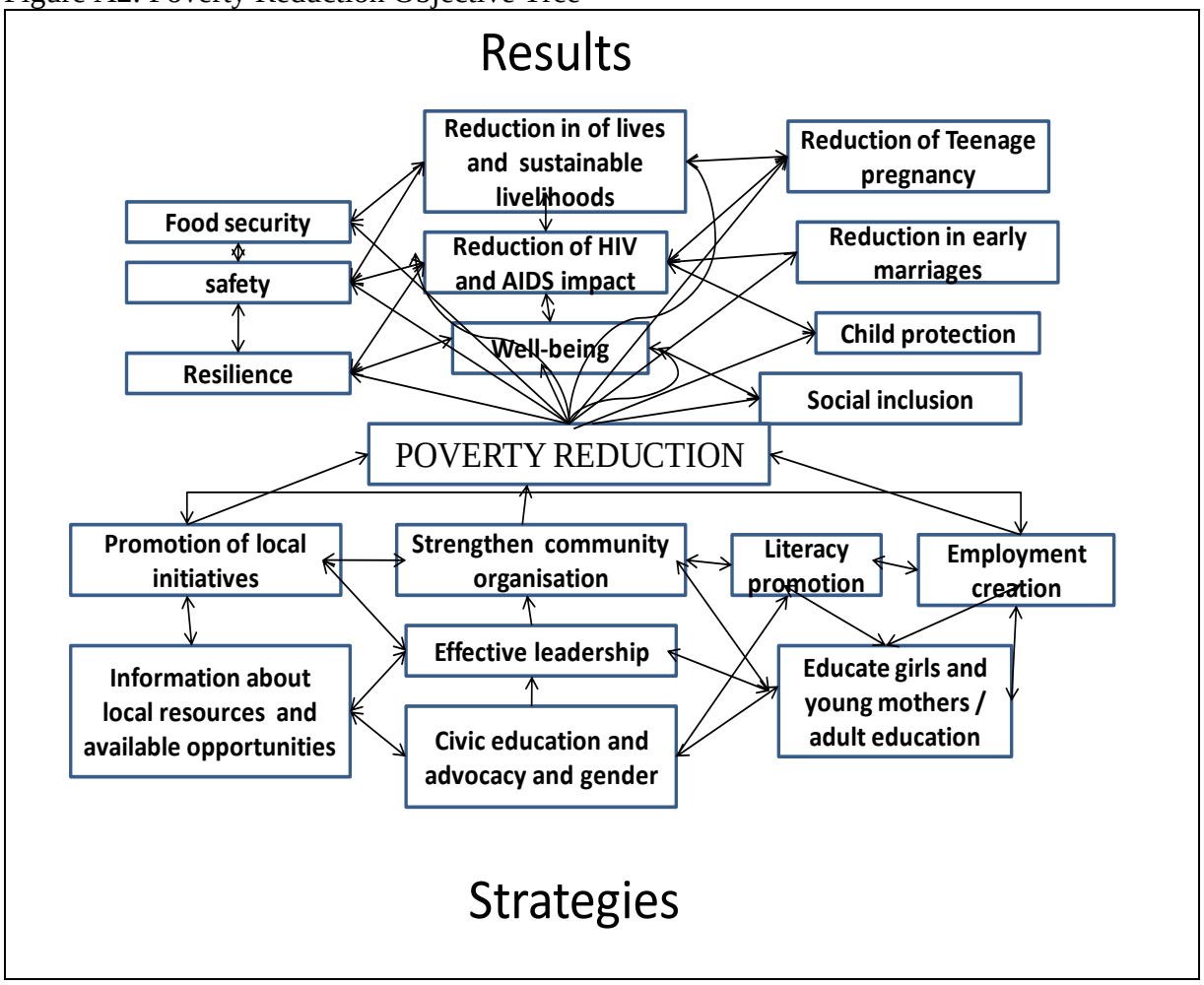
The Problem tree is closely linked to the Objectives tree, another key tool in the project planner's repertoire, and well used by development agencies. The Problem tree can be converted into an objectives tree by rephrasing each of the problems into positive desirable outcomes - as if the problem had already been treated. In this way, root causes and consequences are turned into root solutions, and key project or influencing entry points are quickly established. These objectives may well be worded as objectives for change[7].
Kukumbi staff turned the problem tree into an objective tree in Figure A1 above to an objective tree (Figure A2 below) with strategies and expected effects for an organisation with a sustainable poverty reduction vision. This involves;

- strengthening community organisation at the local level through civic education and advocacy
- literacy awareness campaigns,
- health education including HIV and AIDS,
- access to information,
- reduction in gender based violence and child abuse,
- focusing on skills development and promotion of local initiatives.

These are some of the strategies, which can reinforce each towards addressing the root causes of poverty in Zambezia province. While the effects of poverty cannot be ignored such as HIV and AIDS, and relief provision for disaster victims, the strategies for reducing poverty in Zambezia province should be focused on root causes. Responding to effects tends to require more resources while investing in addressing root causes tends to be cost-effective and can help the province and the country economically.

[7] This section was accessed from http://www.odi.org.uk/rapid/tools/toolkits/communication/Problem_tree.html

Figure A2: Poverty Reduction Objective Tree



ANNEX 2

TOOLS FOR CONDUCTING STAKEHOLDER ANALYSIS

A variety of stakeholder analysis tools have been suggested over the years and these include:

1. Stakeholder analysis matrix
2. SWOT analysis
3. Venn diagrams
4. Spider diagrams

The quality of information that can be obtained using these tools will largely be influenced by the process and methods of data collection. Most development programmes and projects use the participatory approach and group facilitation methods which ensure the views and perspectives of different stakeholders are represented and understood. The stakeholder analysis can be held at any part of the project cycle or advocacy cycle. For example, Kukumbi staff at their planning workshop for the Zambezia Province Advocacy Project carried out a stakeholder analysis as summarised in Table A1 below.

Your /Kukumbi's position:

Table A1: The issue: Community capacity in decision-making

Stakeholder	**Attitude of stakeholder to your position**	**Importance of the issue to the stakeholder**	**Influence of the stakeholder on the issue**
Government	-3 -2 -1 0 +1 +2 +3	Low Medium High	Low Medium High
Community leaders	-3 -2 -1 0 +1 +2 +3	L M H	L M H
Financial partners	-3 -2 -1 0 +1 +2 +3	L M H	L M H
CCL	-3 -2 -1 0 +1 +2 +3	L M H	L M H
School Committee	-3 -2 -1 0 +1 +2 +3	L M H	L M H
Churches	-3 -2 -1 0 +1 +2 +3	L M H	L M H
INGC	-3 -2 -1 0 +1 +2 +3	L M H	L M H

Community leaders and CCLs staff had the highest interest in the project while INGC's interest was medium.

Analysis of strengths, weaknesses, opportunities and threats (SWOT)

The SWOT analysis is used to assess the internal strengths and weaknesses of an organisation and the external opportunities and threats it faces. It can be used in situation analysis,

stakeholder analysis or how an organisation should identify a given problem. The SWOT is undertaken in three main stages:

1. Brainstorming of ideas about internal strengths and weaknesses of a group or organisation and the external opportunities and threats;
2. Brainstorming of ideas about how the organisation or group can build on its strengths and overcome the weaknesses as well as exploiting opportunities that can be taken to minimise threats; and
3. A strategy for making improvements is formulated using some analytical tools.

Table A2 shows a SWOT analysis matrix.

Table A2 SWOT analysis matrix

Strengths (internal)	How to **Build** on them
Weaknesses (internal)	How to **Eliminate** them
Opportunities (external)	How to **Exploit** them
Threats (external)	How to **Manage** them

Kukumbi assessed its internal and external environments using the strength, weaknesses, opportunities and threats (SWOT analysis) tool. The analysis revealed that one of the main challenges is the extensive geographical coverage, with projects dotted across the province and inadequate capacity to meet the needs of the Zambézia province communities. The SWOT Analysis is presented in the Table A3.

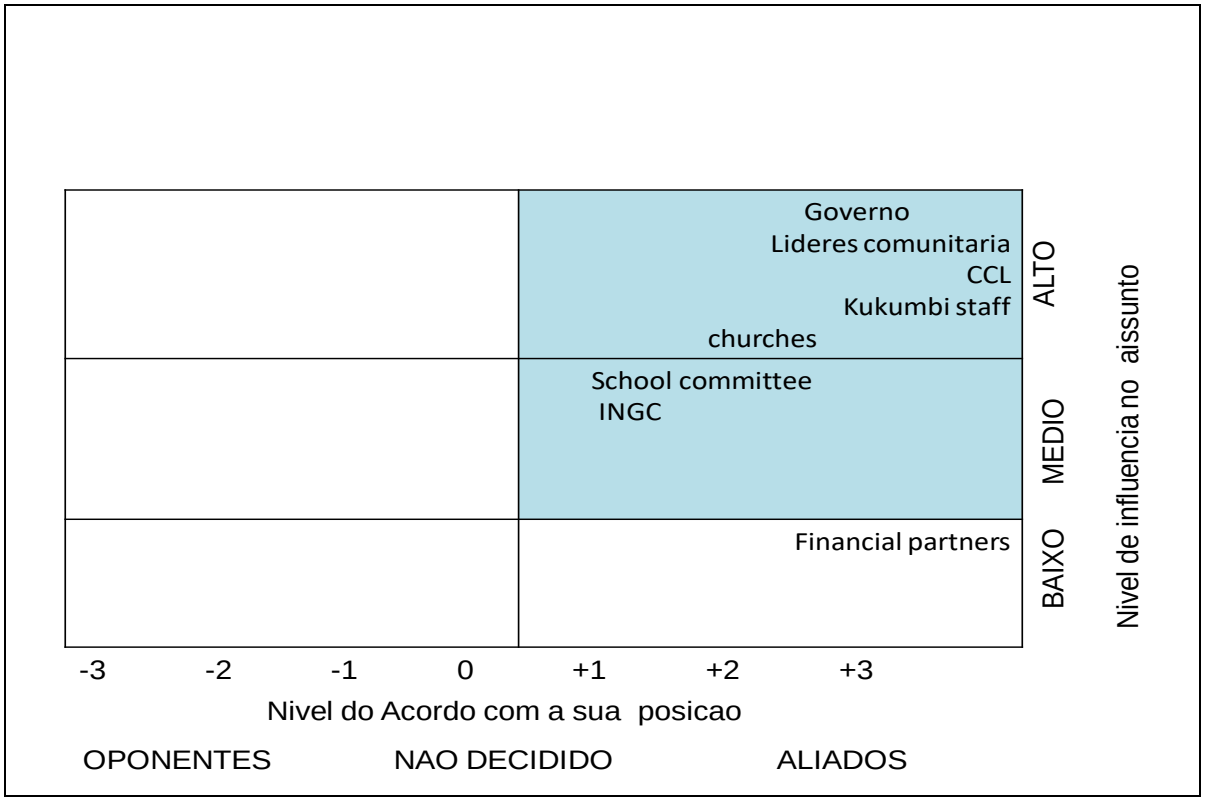
Table A3: SWOT Analysis

Strengths	Opportunities
• Capable human resources with acceptable academic level • Existence of equipment, communication mediums and office • Dynamic and young staff – the main asset of the organization with high level of implementation of field activities • Positive impact, credibility and acceptance of Kukumbi in the community • Quick dispatch of documents and expedient prioritization • Payment of salaries in time • Good relationship with funding partners and government including international financial partners • Ability to achieve more with limited resources	• Good acceptance of and demand for Kukumbi activities by the target vulnerable groups including the terminally ill and OVCs • International policies such as the MDG, and the Hyogo Framework to which the government of Mozambique is a signatory • Strong partnership with government and existence of decentralization policies such as LOLE 8/2003 which enable control and distribution of resources at local level • Existence of donor partnership, support and potential for expanding the network • Donor confidence and trust in Kukumbi's capacity and potential to scale-up development programmes • Strong local partnership such as CNCS • Government ccommitment to reducing HIV and AIDs impact and prevalence
Weaknesses	**Threats**
▪ Wide geographical coverage and inadequate capacity to meet the needs of target group ▪ Inadequate human resources (employees) such as a programme officials ▪ Lack of skills in time management, planning, coordination, communication, monitoring and evaluation, and documentation impact of activities ▪ Lack of visibility at the local level ▪ Inadequate capacity to deal with policy and legislation issues related to governance and DRR ▪ Poor governance – the Management Committee is not as active as it could be including its inadequate involvement in fundraising. Much of the Management Committee work is done by the Executive Secretary ▪ Limited involvement of Management Committee members in strategic planning processes ▪ Lack of transport (Field work vehicles and motorcycles) ▪ Conditions of service not clear to staff ▪ Weak communication between sectors, unclear task roles, late delivery of reports and duplication of activities with other stakeholders (due to lack of coordination with other agencies) ▪ Limited capacity to mobilize funds locally	▪ Inadequate qualified and experienced human resources due lack of qualified staff willing to work outside Maputo particularly in Zambézia Province ▪ Red tape/bureaucracy by government departments ▪ Weak coordination and networking among NGOs and donor funded programmes and government departments ▪ Conflicting policies and weak coordination of donors ▪ Competition for scarce resourcesamong old and emerging NGOs ▪ Uninformed beneficiaries (both government and communities) of the real aim of the projects ▪ Weakening of major currencies due to global recession ▪ Over reliance on donor support. ▪ Overwhelmed with demand for services due to short term funding or projects without clear exit and sustainable strategies in place ▪

Source: Kukumbi Strategic Plan (2009)

Allies and opponents matrix

Kukumbi staff also used the Allies and Opponents matrix to identify the impact of opponents, those undecided and allies.



ANNEX 3

TOOLS AND TECHNIQUES FOR GATHERING AND ANALYSIS DATA

Some of the tools below can be used in collecting data.

Secondary data sources

These include gathering and analysing data from project reports, records, baseline data, and any other documentation about place, people or problems. This can help in formulating questions for participatory research and will avoid duplicating or repeating previous studies.

Direct observation

This involves observing objects, events, people's behaviour, processes or relationships and record what you observe. Observation can help to cross-check answer from secondary data sources and also from participatory research. The observer can also participate in the activities in order to share experiences with those involved in the event.

Semi-structured interviews

Semi-structured interviews do not use survey questionnaire, instead a checklist of questions is used. For example:

1. What are the problems caused by flooding?
2. What are the overall coping strategies to flooding in Zambezia Province?
3. What are the coping strategies for the community in Morrumbala District along the Zambezi River?

A semi-structured interview is a flexible tool and should be used systematically in order to produce valid results. Some of the guidelines include the following:

- The interview team should consist between two and four people
- Begin with the traditional greeting and state the interview team is here to learn
- Begin the question by referring to someone or something visible
- Conduct the interview informally and mix the questions with discussion
- Be open-minded and objective
- Let each member finish their line of questioning and do not interrupt
- Carefully lead up to sensitive questions
- Assign a note taker
- Be aware of non-verbal signals
- Avoid leading questions and value judgements
- Avoid questions which can be answered by a 'yes' or 'no'
- Individual interviews should not last more than 45 minutes and group interviews no more than two hours

Key Informant Interviews

These are interviews can be specialists in the topic you are interested. These can be outsiders, community leaders, teachers, government officials. Key informants should be able to answer questions about the knowledge and behaviour of others and give good overall view of the way things work in the community.

Focus Group Discussions

A focus group discussion (FGD) is a group discussion of approximately 6 - 12 persons guided by a facilitator, during which group members talk freely and spontaneously about a certain topic. A FGD is a qualitative method. Its purpose is to obtain in-depth information on concepts, perceptions and ideas of a group. A FGD aims to be more than a question-answer interaction. The idea is that group members discuss the topic among themselves, with guidance from the facilitator. Successful group discussions need:

- To be held in a comfortable place, with no interruptions
- An informal atmosphere
- Equality and trust between group participants and facilitators
- Understanding and agreement within the group about the purpose of the discussion
- Respect of all participants to speak and be listened to
- An agreed and open method of recording the discussion, such as flip charts.

Participatory mapping and modelling
These include:

- Resource maps of catchment areas, villages, forests, fields, farms etc
- Social maps of residential areas of a village
- Wealth/well-being maps and household assets surveys
- Health maps e.g. to identify TB cases or ear infection

Transect walks
Systematic walks with key informants through an area, observing, listening, asking, seeking problems, solutions and mapping the finding onto a transect diagram.

Participatory diagrams

- Seasonal Calendars – these explore seasonal constraints and possibilities by diagramming changes month by month through the year; rain, labour, diet, sickness, prices, animal fodder, income, debt, etc. Histogram calendars can be drawn over 12 or 18 months.
- Activity profiles and daily routines - Histograms chart daily patterns of work. Compare for different groups; e.g. women, men, children. Compare different profiles for different seasons.
- Historical profile, time lines and change analyses. Chronologies listing major local events, ecological change, disease/pest/weed occurrence, population trends, etc.
- Venn (chapatti) diagrams – these use of circles to represent people, groups and institutions and their relationships.

Analytical games
Rankings and choices and analysed through interview games.

- Wealth/well-being rankings. Here groups or clusters of households are identified according to relative wealth or well-being. Informants sort a pile of cards, each with one household name on it, into piles. The wealthiest are put at one end, the poorest at the other. The process is replicated with at least three informants. This provides a good lead into discussions on the livelihoods of the poor and how they cope.
- Matrix scoring and preference rankings - Matrices constructed using seeds, stones etc. confirm the values, categories, choices and priorities of local people, e.g. different trees, soil conservation methods, varieties of a crop or animal. For pair-wise ranking, items are compared pair by pair for preference.[8]

[8] DFID tools for development (2002)

ANNEX 4

ZAMBEZIA PROVINCE ADVOCACY PROJECT (ZPAP)

Narrative summary	Objectively verifiable indicators	Means of verification	Important risks and assumptions
Goal: To reduce poverty and vulnerability to hunger in Zambezia Province, Mozambique through a rights-based approach to sustainable development	Poverty reduced for 5% of the population (or 40,000 people) of Morrumbala and Milange districts by 2015.	Government reports on poverty, nutrition; UN reports; surveys; media reports	Commitment and support from government
Purpose: Communities have more control on the development process and outcomes because of improved participation in decision-making in Morrumbala and Milange districts by 2013.	• 84 community structures are functional and produce regular plans • Morrumbala and Milange district plans are formulated using local community plans	Government reports, Baseline survey; observation; monitoring and evaluation reports; minutes of meetings	Commitment of local leaders to promote local development; disasters well managed
Outputs: 1. Improved knowledge, understanding and application of the Decree 15/2000 and LOLE 8/2003	• 30 training sessions per district provided involving 2000 people with 30% being women by 2013 • 6 annual and 12 bi-annual accountability meetings involving CCL structures held	Project reports on training; meetings with participants; monitoring; evaluation	Good attendance to training and attentive; positive attitudes from community leaders; community leaders accept change

2. Functional gender sensitive development structures established at the community level which allow greater community participation in decision-making	• Structures established and functioning in two districts by year end of 2012 • All CCLs members trained in RBA, advocacy and cross-cutting issues in two districts	Project reports on training; meetings with participants; monitoring; evaluation	Good attendance to training and attentive; positive attitudes from community leaders
3. Local development plans formulated and inform district development plans	• 2 PESOD developed per year which are informed by at least 10 CCLs development plans in the two districts • 12 local plan review meetings held twice a year	Project reports on training; meetings with participants; monitoring; evaluation	Good attendance to training and attentive; positive attitudes from community leaders
Activities: 1.1 **Project set-up** • Procuring equipment • Staff induction /orientation • Staff training on RBA and basic legal literacy of the Decree 15/2000 and LOLE 8/2003 • Set-up monitoring and evaluation system **1.2 Stakeholders consensus building dialogue meetings** • Hold regular meetings	**Inputs** Capital expenditure (vehicles, equipment: 1x project vehicle = £28,700; 1 x motorcycles, £3,600; 1x desktop computer - £1,600; 2x digital camera @300 =£600 **Subtotal: Total – £34,500** **Staffing:** 1x Project coordinator @£24,000/yr for 3 years = £57,000, 1x project officer @ 7,800 for 3 years=£23,400; accountant@£5,200 for 3 years =£15,600; 2x Field Officers	Receipts, invoices, vouchers; audit reports	

with community leaders • Hold regular meetings with civil servants at district and provincial levels **1.3 Community sensitization** • Two workshops for community leaders on Decree 15/2000 and LOLE 8/2003 • Hold community consultation meetings organized by community leaders in each of the CCLs • Distribute IEC materials • Radio broadcasts **2.1 Mapping community structures** • Conduct baseline study to identify existing and non-existent structures, and their composition in terms of gender, age and disability, as well as existing community-initiated	@7,800 for 3 years=£23,400; Contribution to director's salary@6,500=£19,500; Contribution to National Security = £900 **Subtotal: £139,800** Overseas Administration = 72,500 Project activities = £27,000 Information dissemination = £19,500 Monitoring and Evaluation = £25,000 UK expenditure = £28,000 Building support for Development = £5,500 **Total estimated budget =£352,070**		

programmes • Disseminate baseline study findings to stakeholders **2.2 Establishing community structures** • Facilitate formation of gender sensitive community structures with at least 30% women **2.3 Training established community structures** • Workshops on leadership, roles and responsibilities of CCLs • Two workshops on basic literacy on Decree 15/2000 and LOLE 8/2003 • Two workshops on gender mainstreaming, HIV and AIDS and child protection • Two workshops on development planning and implementation • Two workshops on project cycle			

management including monitoring and evaluation • Exposure visit to Nampula Province with 30% being women **3.1 Mid-term Evaluation** **4.1 Facilitating familiarization of local development plan and PESOD** • Community workshops on PESOD process and community-based planning, design, implementation, monitoring and evaluation • District level workshops on PESOD process and community-based planning design, implementation, monitoring and evaluation **4.2 Facilitating the design,**			

implementation, monitoring and evaluation of local plans and PESOD • Mentoring and coaching CCLs on PESOD process and community-based planning, design, implementation, monitoring and evaluation • Workshops on consolidating community-based local plans into a district plan • Mentoring and coaching CCL on plan monitoring and evaluation meetings **5.1 End of term evaluation**			