Advocacy Guide

A Toolbox for Water Integrity Action

WIN Water
Integrity
Network

Fighting corruption in water worldwide

www.waterintegritynetwork.net

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There is an urgent need to campaign against corruption and build integrity in the water sector. This is confirmed by Transparency International's Global Corruption Report 2008: Corruption in the Water Sector (GCR 2008) and by the establishment of the Water Integrity Network (WIN).

Around the world it is estimated that a child dies every 20 seconds due to a lack of clean water. Corruption is a cause of the problem. In many instances corruption aggravates the impact of the problem and makes the search for solutions incredibly difficult. Corruption in water – from its gathering, distribution and protection – also negatively affects the environment, increases the price of food and keeps the development community from achieving the United Nations' Millennium Development Goals.

This Advocacy Guide presents five modules that support WIN members and anti-corruption activists to engage in advocacy. The modules outline key steps for:

» **planning and preparation of advocacy campaigns**
» **advocacy in action**
» **research for advocacy**
» **the importance of coalition building**
» **how to monitor and evaluate the actual impact that advocacy work has had.**

PREFACE

This Advocacy Guide has been produced for anyone who wants to become more active in enhancing, enabling and enforcing water integrity. It includes WIN's global partners and international water organisations that are urged to incorporate water integrity into their agendas; local WIN members who promote integrity on the ground; and journalists, academics and concerned citizens who are exasperated with the corruption they witness in the water sector. We hope this guide will serve as a stimulus for action.

Knowing what we are up against

It is of vital importance to keep in mind what this Advocacy Guide and its eventual users are up against: corruption. While this looks simple at first, the Global Anti-Corruption Toolkit of the United Nations Office for Drug Control and Crime Prevention (UNODC) states that 'there is no single, universally accepted and comprehensive definition of corruption. Because of the varying meanings of the term in different contexts and across different countries, attempts to develop such a definition invariably encounter legal, criminological and, in many countries, political issues' (UNODC, 2004: p. 6).

Transparency International however states that if we wish to address anti-corruption solutions through coordinated and joint action, it is important to use a similar language and agree on its meaning. Therefore, TI developed The Anti-Corruption Plain Language Guide to offer a set of standardized definitions of terms that relate to corruption. Corruption here is defined as The abuse of entrusted power for private gain. To support this attempt to gain a common understanding of corruption across borders, this Advocacy Guide lists five statements to help recognize and understand corruption:

» **Corruption can be demystified.** Many misconceptions have emerged about corruption. Hence, it is useful to do away with these misconceptions. Corruption does not happen by accident; it is planned and premeditated. Corruption is not only limited to illegal acts and decisions; certain lawful decisions can be corrupt. Corruption is not a necessary evil as alleged by some who justify 'grease money'. Corruption does not result from inefficiency. And corruption does not occur only in poor, developing countries, nor just in unsuccessful, broken economies.

» **Integrity matters.** Corruption can be stopped through advocacy and an inclusive multi-stakeholder approach.

» **Responsibility can be recognised.** It is possible to recognise where responsibility for corruption lies and fails. Failures can take place at the individual and institutional levels.

» **Forms of corruption are clear.** Some forms of corruption can be universally recognised: bribery, theft and embezzlement, collusion, fraud, extortion and abuse of discretion, to name a few (for more clarity see The Anti-Corruption Plain Language Guide, www.transparency.org).

» **Changes have taken place.** As such, monitoring and evaluating the impact of advocacy and campaigns against corruption is critical to further understand how it changes, adapts, reforms or revitalizes itself.

The UN Manual on Anti-Corruption Policy states: 'What emerges from past experiences shows that corruption is dynamic and has various cross-cutting dimensions, therefore, the most appropriate approach to curb it must also be dynamic, integrated and holistic' (UNODC,2004: p.5). WIN hopes this Advocacy Guide can contribute to the development of such an approach.

Advocacy is the process of influencing individuals and institutions to change policy and practice. It is the means – an approach, a strategy for action, a collective tool – that can be used to introduce and implement water governance and anti-corruption reforms needed to deal with the problem of corruption. This Advocacy Guide presents five modules that can contribute to and further enable the latent capacity of WIN members and other anti-corruption activists to engage in advocacy. Each of the five modules can be treated as standalone guide independent of each other. However, they have been designed to complement and reinforce each other; hence, it is essential to regard each as a component of an integrated whole. Classifying this guide's body of information and learning into modules is simply meant to make understanding advocacy more manageable. A short training of a few hours, involving group discussion and some exercises, can be developed out of each module. Each module provides the big picture and then enumerates the necessary details where possible:

» **Module 1** introduces the different stages in a typical advocacy planning cycle and prepares the user for the varied, multifaceted tasks of advocacy. It provides step-by-step tips on making advocacy more systematic and methodical. Many advocacy campaigns end up as 'flashes in the pan' – they start enthusiastically but cannot always achieve meaningful and longer-term results. Module 1 potentially can contribute not only to the sustainability of advocacy campaigns but also to their replication in various contexts and settings.

» **Module 2** demonstrates advocacy in action. It provides different definitions and examples of advocacy campaigns from other organisations. It also illustrates successful integrity initiatives by WIN members, investigative journalists and other campaigning organisations. This module shows advocacy does not mean simply following predefined steps like in a cookbook. This module provides essential components towards a better understanding and appreciation of advocacy for integrity in the water sector.

» **Module 3** shows the less visible foundations of most advocacy work: research and planning. This tedious but critical and indispensable task is described in more detail in this module. Sound and systematic research is the cornerstone of solid and sustainable advocacy work. And because of the sensitive nature of anti-corruption advocacy, authoritative research is essential. This module presents the how-to's of selecting issues, risk-mapping and running diagnostic checklists.

» **Module 4** introduces coalition-building as a basic element for successful advocacy against corruption in the water sector. This module provides some answers to questions such as: What are coalitions? Why are they important? How they can improve integrity in the water sector? It also presents important issues that typically hinder effective relationship-building with allies and partners, and suggestions on how to deal with them.

» **Module 5** discusses monitoring and evaluation tools. Advocacy and campaigns are worth nothing if they do not make a difference. Monitoring and evaluation tools are important to determine if impact has been made, the type of changes that have taken place, or finding out what needs to be adjusted, which may often be required in advocacy and campaigning.

This Advocacy Guide is a work-in-progress. It is not a finished, complete and comprehensive set of prescriptions on advocacy. Changes in its text, as well as the inclusion of additional examples, will be made as WIN members and other users provide feedback. Thus, use it as a guide, not as strict and exact instructions about what to do. It provides advice and suggestions, even though you may be more authoritative and experienced on these issues. This guide has been carefully prepared and reviewed. Its learning objective is to make the task of understanding and implementing advocacy more widely accessible.

Sources:
- United Nations Office on Drugs and Crime, 2004,
The Global Programme Against Corruption, *UN Anti-Corruption Toolkit*, 3nd Edition, Austria.
- Transparency International, 2009, *The Anti-Corruption Plain Language Guide*, http://media.transparency.org/fbooks/pubs/pl_guide/

Introducing Advocacy Planning

– The advocacy planning cycle and action planning

Good planning is essential for advocacy work. To prepare the user for a proper understanding of the advocacy planning process, this module explains why advocacy is necessary. It then provides the typical steps for planning advocacy actions. At the end of this module, the user should be able to:

» **Understand and appreciate the reasons why advocacy should be planned systematically and methodically.**

» **Be familiar with five basic steps of the advocacy planning cycle.**

» **Distinguish the differences and relationships between, as well as the purposes of: a policy agenda (what needs to change), the advocacy agenda (how to influence change) and the action plan (activities to support the advocacy agenda).**

» **Be confident in using some tools for identifying the policy agenda – e.g. research and policy papers; developing SMART (Specific, Measurable, Achievable, Relevant and Time-Bound) objectives.**

» **Be confident in using some tools for identifying the advocacy agenda – e.g. PESTLE (Political, Economic, Social, Technological, Legal and Environmental) and SWOT (Strengths and Weaknesses, Opportunities and Threats) analyses; the influence tree; identifying and analysing targets of advocacy work.**

» **Draw up an action plan.**

INTRODUCTION

Corruption in the water sector is rampant and action urgently needs to be taken. Tools have been created to combat corruption, many of which were pioneered by Transparency International. Some tools are international in nature, such as anti-bribery agreements. Others are more local, including Citizen Report Cards or Public Expenditure Tracking.[1] Some require large technical teams while others can be applied by one individual. One particularly cross-cutting tool is advocacy. Advocacy is more than just awareness-raising; it can be seen as the starting point for all future work as well as an end goal in itself.

Advocacy is a process of influencing the attitudes and behaviour of targeted actors in order to change the policy and practice of governments and institutions. It is an essential part of a healthy society. It is a first step in collective action and ensures that policy-making is informed by the views of civil society. But achieving change is not easy. Great forces resist change, whether they are political inertia, vested interests or corruption. For advocacy to be effective, one must be focused on what needs to change and fully understand the processes by which that change can take place. Authoritative research is needed, professional techniques for influencing others must be used, and communications should be creative. Above all, a clear and well-developed strategy is needed. A good advocacy strategy will not only raise the profile of the issue of water sector corruption, it also aims to influence lasting change. To fight corruption in the water sector, it is necessary to advocate for better institutions, better participation, and better laws and regulations. This Advocacy Guide is intended to help achieve that aim – making advocacy more targeted and effective.

Advocacy for water integrity was given a big push by the publication of the Global Corruption Report 2008: Corruption in the Water Sector (GCR 2008), which not only provides opportunities to raise awareness about the issue of corruption in the water sector, but also describes the policy work that needs to be addressed. GCR 2008 provides an information source upon which more specific and localised advocacy plans can be developed. More specific and locally-based plans can take into account different water sub-sectors, geographical locations, governance systems, forms of corruption, different political and social contexts, and the different resources available to those advocating for change. For this reason, this module focuses on the process of planning for advocacy, rather than presenting a ready-built 'advocacy plan'. It is intended to support rather than to instruct.

1 The Citizen Report Card is an increasingly popular tool for improving local governance and pro-poor service delivery. More details are available at www.citizenreportcard.com. Public Expenditure Tracking is a quantitative survey of the supply side of public services that can be a simple diagnostic tool in the absence of reliable administrative and financial information. More background and current information are available from the World Bank website, www.worldbank.org.

Collecting water and washing clothes at water point.
Image courtesy of WEDC. © Rebecca Scott.

One can take a huge range of actions to make advocacy effective. These include: undertaking research; organising conferences and seminars; publishing materials such as reports, brochures and posters; lobbying policy-makers; engaging the media; and so on. But to make advocacy more systematic and methodical, a strategy is necessary. Developing an advocacy strategy involves a number of linked and progressive stages – often referred to as the 'advocacy planning cycle'. The most basic stages of such a cycle are as follows:

1 **Decision-making:** Commitment-making and organising a management plan to deliver, coordinate and monitor advocacy

2 **Policy-agenda setting:** Identifying targeted changes – aims and objectives

3 **Advocacy-agenda setting:** Determining how best to influence change – influencing strategy, concerned audiences and tactics

4 **Action planning:** Devising the action plan – activities to engage different decision-makers, influentials and concerned audiences

5 **Monitoring and evaluation:** Ensuring whether advocacy is making any difference – monitoring activities and outcomes, evaluating overall impact, adjusting plans and strategy

To ensure an advocacy strategy reflects the specific location and context, it should always be driven by and reflective of the experiences and knowledge of partners or allies.

A full strategy does not have to be lengthy. It must, however, ensure that people are focused on the problem and show the route taken to address it. It helps to clarify goals, objectives and methods of measuring success, and to understand risks and assumptions. Additionally, an advocacy strategy helps to allocate resources and responsibilities, as follows:

» Communities need to know the strategy that will be taken, in order to ensure accountability;

» Allies and partners in advocacy work must know the strategy, in order to ensure effective participation;

» Donors may ask for a strategic plan, in order to approve funding.

The following section goes through the five basic stages of the advocacy planning cycle and provides guidance for the process and suggestions for action.

STAGE 1: DECISION-MAKING - DELIVERING AND COORDINATING ADVOCACY ON WATER INTEGRITY

The first step in the advocacy planning cycle is simply to decide that something must be done against corruption. 'Enough is enough!' is a phrase many local communities and organisations say when they start the task of advocating for change. Political will to effect change is the driving force behind any advocacy campaign.

Deciding to advocate for change entails a number of steps. For example, the community or organisations pushing for change need to reach an agreement on how decisions will be made. Should a Task Force, composed of the most-dedicated activists, be created? Should the Task Force then report and be accountable to a committee representing stakeholders and the constituency of the campaign? In many instances, decision-making structures and processes are already in place, such as, for example, regular community meetings. There can be many different ways of arriving at decisions, depending on local community or organisational circumstances.

Various organisational considerations need to be discussed. Who will be responsible for each task? How will progress be reviewed and plans updated? Each organisation has its own way of working, but it is likely that someone will be assigned project leader for advocacy on water sector corruption. That person may need to be the main spokesperson for the advocacy campaign, although for some audiences it may be more appropriate for the most senior person in an organisation to speak. One also may decide to set up a project or technical team of members of the organisation, including some external experts who are sympathetic to its goals. This team can develop plans, organise activities and monitor progress.

Indeed, there are different ways of organising to deliver and coordinate advocacy. But the bottom line is that there must be a clear, collective mandate. Campaigning against corruption should not be a one-person crusade. The more widely it is owned by the community, the better the chances it will effect meaningful and long-lasting change.

STAGE 2: POLICY-AGENDA SETTING - IDENTIFYING WHAT SHOULD CHANGE

Any advocacy campaign should be clear on what it wants to change – in fact, this should be written down so everyone can refer to it. The policy agenda is an important target for change. Campaigners for water integrity are very clear about what they want: to reduce or stamp out corruption in the water sector. An organisation working in the water sector may already have ideas on how to do it. It may concern one particular policy or one set of affected people or region. In many instances, however, it remains unclear what exactly needs to change in order to improve water integrity. When we decide to embark on the fight against corruption in the water sector, we should ask ourselves the following questions:

» What is the critical element we want to change? Are we after a change in the law (if so, which law)? Do we want increased transparency in procurement processes (if so, how can this be done)? Or do we merely want a change in the actions of officials running the processes?

» Have we properly understood the reasons why corruption has become rampant? Have we identified where responsibility has failed? Is the problem more institutional (structures and processes need to change) or individual (individuals need to change or be changed)? Are we prepared to suggest, and do we have a common voice when it comes to suggesting alternative ways of doing things?

» Are the issues we are raising already being addressed elsewhere? Are we looking at the whole picture and not 'mistaking the forest for the trees'? What particular forms of corruption are most obvious, and are there some forms or instances we are not seeing?

» More generally, what do we need to break, what do we need to repair, and what do we need to revitalize?

Having a clear and well-defined policy agenda is essential, as it provides the roadmap that sets us on the right direction. Two ways to develop a clear policy agenda are suggested in this guide: a) production of a policy paper, report or statement; and b) development of SMART objectives.

Developing a policy position

Policy papers may be long or short. Global Corruption Report 2008 is an example of a comprehensive policy report. This report and the Water Integrity Network website set out a number of issues in the water sector and recommendations for change. These provide ideas on the work that needs to be done and where the focus should be. The regional highlights and key messages from GCR 2008 may also provide inspiration, as should the risk map and diagnostic checklist discussed in Module 3. GCR 2008 strongly recommends an assessment of the situation in your country, state or municipality as a first step to undertake advocacy work. This will also require research and consulting with key stakeholders in the water sector. Once this assessment is complete, it is necessary to develop recommendations on combating the specific forms of water sector corruption we face. These recommendations should be specific to a country, a water sub-sector, and the local political and legal context, and should include a list of detailed actions different actors can take.

Recommendations can be set out in the form of a policy position. This includes a short summary of the problems (no more than one or two pages), the causes of concern and recommendations for remedying the situation. The policy position can subsequently form the basis for advocacy work. To make advocacy more effective, the focus should be limited to one or two of the most important recommendations. This will concentrate efforts so that advocacy resources have most impact. The more easily the issue can be communicated, the better the chance of winning the support and involvement of other stakeholders.

Checking your SMART objectives

After the policy position has been made clear, one should move on to a central task of the process: setting the foundations of the advocacy plan by identifying its aims and objectives. As stated in WIN's Strategic Framework for Action (www.waterintegritynetwork.net), the aim of WIN's work and this Advocacy Guide is to to reduce the level of corruption in the water sector in a given country. What ought to be done to achieve the aim are the advocacy objectives. Ideally, objectives should be SMART – Specific, Measurable, Achievable, Relevant and Time-bound. Objectives should specify the outcome being sought, not the activity proposed. Consider the comparison presented in the examples on the next page:

Drought. © Stockexpert

TABLE 1: DECISION-MAKING WITH SMART OBJECTIVES

'Not SMART' Advocacy Objectives	SMART Advocacy Objectives	Why it is SMART
To promote hygiene education in schools.	To convince the minister and the minister's planning team at the Ministry of Education to adopt a national hygiene promotion programme as part of the curriculum for primary and secondary schoolchildren by the start of the 2010 school year.	Convincing the minister and the minister's planning team that it is more specific than 'promoting hygiene education'. It can be measured via the adoption of a hygiene programme in the curriculum. This is achievable because it is within the mandate and power of the minister and the minister's team. The relevance of this objective is self-evident. It is time-bound because the goal is to have it implemented by the start of the 2010 school year.
To promote the use of sanitation services among poor communities.	To increase funding for sanitation provision and education in the country's five poorest districts by 50% in the next budget year.	Specific – it targets the five poorest districts. Measurable – the goal is a 50% increase in funding for sanitation provision and education. Achievable – it is a modest increase, and based on research that there is space in the budget for this increase. Relevant – starting with the poorest five districts can have remarkable 'demonstration effects'. Time-bound – it should happen by the next budget year.
To eliminate corruption in procurement processes in the water sector.	To convince the Ministry of Water and Ministry of Finance to adopt Integrity Pacts in the bidding processes for all major water infrastructure projects starting in 2010.	This objective would be more specific if the persons to be convinced in the two ministries had been identified, and if what is meant by a 'major' (infrastructure) project had been defined. The objective will be measured by whether or not Integrity Pacts are adopted. This may be achievable and relevant but more information needs to be collected on how stakeholders will react to the idea of having Integrity Pacts. There is a time frame – 2010.
To change the corrupt behaviour of water officials.	To collect five human interest stories about corruption victims and publish them through mainstream media channels within the next six months to make known the negative effects of corruption on the poor and appeal to people's ethical behaviours.	Specific – it has a concrete number of stories to be collected. Measurable – the goal is to have at least x newspapers and TV broadcasts report your stories. Achievable – collecting interviews, writing stories and media dissemination is possible within a reasonable budget. Relevant – it will raise attention to a wide public audience. Time-bound – it should happen within the next six months.
To make water integrity a priority in global policy-making on water.	To have 10 multilateral/international organisations acknowledge the importance of water integrity in their strategy by 2015.	Specific – it targets particular organisations. Measurable – it can be measured by reviewing the organisations strategies . Achievable – it requires effective lobbying. Relevant – it will influence global policy-making. Time bound – There is a clear time frame (2015).

Sources:
- WaterAid, 2007, *The Advocacy Sourcebook*, UK, p. 33.
- ActionAid, 2007, *Communications Toolkit*, South Africa.

BOX 1.1: GROUP EXERCISE: SETTING SMART OBJECTIVES

To help ensure the objectives adopted for an advocacy campaign are SMART, the following exercise may be useful for teams of at least five people:

Step 1 Objective drafting: Each person is given three large cards and asked to draft up to three advocacy objectives and write one each on the cards, which are placed in a pile in the center.

Step 2 Grouping the 'evaluators': The team is then split into five groups of 'evaluators', each of which is allocated one of the SMART criteria. For example, group 1 will evaluate whether the objective written in a card is 'specific'; group 2 will evaluate if it is 'measurable'; and so on.

Step 3 Sorting and editing the draft objectives: The first five cards are distributed among the five groups, each of which examines the draft objective written on the card and decides whether it meets the criterion of their group. If it is not sufficiently 'specific,' 'measurable,' etc., the group edits the objective (with a different color pen). If they consider the draft objective to be an activity rather than an objective, they place the card in a separate pile in the center.

Step 4 Moving on: When a group has finished sorting and editing a card, they pass it on to the next group in a clockwise direction. When a card they have already annotated returns to a group, they place it in a pile in the center. When a group has no more cards to look at, they pick up a fresh one from the first pile. The process continues until each group has seen every card.

Step 5 Decision point: The team reconvenes as a plenary and looks at the annotated cards, which are then stuck to the wall, with similar cards grouped together. The group decides the final wording of the objective and decides which will be the priority for their work. The 'rejected' cards considered to be activities rather than objectives are reviewed and can then be used for action planning.

Sources:
- WaterAid, 2007, *The Advocacy Sourcebook*, UK, p. 33.
- ActionAid, 2007, *Communications Toolkit*, South Africa.

STAGE 3: ADVOCACY-AGENDA SETTING - DETERMINING HOW TO BEST INFLUENCE CHANGE

After identifying the policy agenda of what should change and converting these into SMART objectives, the next general step is to determine how to best influence change. You can start by developing an 'influencing strategy' – setting an approach to persuade policy-makers to adopt the recommendations set out in the advocacy objectives. Do not rule out the possibility that policy-makers may want to address the issue of water sector corruption and are just waiting for someone to engage them on how best to do it. If this is the case, the task is easy. Arrange meetings, publicise to whatever level is needed and explain the advocacy recommendations.

However, such a scenario is often unlikely. Policy-makers may have other priorities, they may not recognise there is a problem, or they may even have a vested interest in maintaining the status quo. In this case identify what 'channels of influence' to use – in other words, which concerned audiences or 'influentials' to communicate with in order to put pressure on the policy-makers to take action. To develop an influencing strategy, it is necessary to go through a number of distinct steps:

1 **Understand the policy-making process:** To influence a particular policy, it is essential to understand how this policy is developed and agreed upon. A useful exercise is to draw a flowchart setting out all the stages of the policy-making process and identifying the people or institutions involved at every stage.

2 **Pinpoint the 'decision-maker':** Identifying the person or group (e.g. committee, office) responsible for developing policy and approving the decisions is a key step in the advocacy process. It would also be useful to see decision-makers (those with actual powers to approve decisions) separately from stakeholders (a generic term we will use in this guide referring to those who are affected and therefore may or may not try to influence decision-making). Some research may be needed to complete this step.

Tonnes of waste flows everyday through the Buriganga River in Dhaka, Bangladesh, used by humans to wash and fish. © Gregory Wait

Note that while it is useful to narrow down decision-makers to a single person or office, this may not be possible in many instances. The act of identifying the decision-maker is not a simple finger-pointing exercise. Responsibility could be so dispersed and fragmented that there is no clear, single decision-maker at any given point. There can also be decision-makers who may be vetoed by some other, perhaps more powerful actors. For example, the chair of a parliamentary committee may be the most important decision-maker for a specific piece of legislation on corruption. But the chair's decisions can be rendered ineffectual if the Parliament's leadership decides not to table any discussion on the legislation, or if the President vetoes what Parliament has been passed. Hence it is essential that one first understands the policy-making process before taking this step of pinpointing the decision-maker.

In any case, the reason why decision-makers have to be pinpointed is because it is useful to plan aside what to do to reach them, how to engage with them, what specialised materials need to be prepared for them, what tone or approach to use in a face-to-face meeting with them, and so on. Impact can be quickly measured by how decision-makers react to your advocacy.

BOX 1.2: EXERCISE: THE INFLUENCE TREE

The influence tree is a tool for analysing the decision-making process of a particular organisation or sector. It can be drawn up by the advocacy planning team as a group.

Step 1 The various components of the organisation or sector – e.g. departments, units and individual positions – are drawn as circles or boxes in a large sheet of paper.

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

Step 3 Color-coding or shading can be added to highlight key leverage points for advocacy work.

Examples of influence trees in the water sector are found on pages 36 and 37 of The Advocacy Sourcebook by WaterAid, the source of this exercise.

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3 **Understand the advocacy environment:** Be clear about the operating context in order to help make strategic choices later in the planning process. One useful tool for doing this is the PESTLE analysis, which stands for Political, Economic, Sociological, Technological, Legal and Environmental (more discussion on PESTLE below). Simply list all the relevant factors that may affect advocacy on water corruption in each of these six categories, and undertake further research to fill in any gaps in knowledge. Identify any related advocacy campaigns and learn from their experiences. Forthcoming events (local, national and international) that can provide opportunities for advocacy action should also be researched and listed.

4 **Assess your advocacy capacity:** Perform an honest assessment of the resources available for undertaking advocacy and making change happen. Resources can include funds and funding sources, organisational staff and their skills, and the reputation of an organisation and its representatives. Many organisations become more resourced on the strength of their public support, their allies in various sectors, the knowledge and experience of their board members, or the latent capacity of their partners. A suitable tool to use here is a SWOT analysis – Strengths, Weaknesses, Opportunities and Threats (more below). SWOT is one of the best-known and commonly used tools developed to facilitate and encourage strategic thinking and planning. List all the relevant factors under each heading and rank them in the order of importance. Consider how best to utilise strengths and counteract weaknesses. At a later stage decide which opportunities to exploit and how to manage the threats.

BOX 1.3: PESTLE AND SWOT

PESTLE and SWOT have become two widely used tools that facilitate strategic thinking in organisations. Commonly used in business for understanding market growth or decline, business position, potential and direction for operations, PESTLE and SWOT have since been used by non-profits, too, particularly advocacy and campaigning organisations. Both are diagnostic tools that enable organisations to understand the contexts in which they operate better.

PESTLE analysis introduces the political, economic, social, technological, legal and environmental factors to consider in strategic decision-making. Political factors would include, for example, the extent to which political authorities would tolerate a campaign against corruption, or how public policies are negotiated and enforced. Economic factors may include funding streams or income generation targets. Social factors would include societal attitudes, demographic factors and lifestyle changes. Technological factors would consider current and emerging technologies of relevance to the organisation. Legal factors include the relevant international and national laws, as well as proposed legislation that may affect the organisation. Finally, environmental impacts are also typically considered in a PESTLE analysis. The PESTLE context is typically used to map out a SWOT analysis.

SWOT analysis is simply looking at the strengths, weaknesses, opportunities and threats that affect the organisation. Strengths are positive factors – financial and material resources, good access to governments, public image, efficient organisation and so on. Weaknesses are factors that inhibit the ability to act generally or work on specific issues – lack of experience, limited funds, no facilities or bad public image. Knowing your weaknesses is important in order to take steps to overcome them or avoid activities you will be unable to cope with. Opportunities are factors in society that might affect your advocacy work – an interested and sympathetic media, the existence of relevant coalitions or a forthcoming event that focus attention on the relevant issues (e.g. an international conference). Threats are factors usually beyond your control that may have a negative impact on your ability to campaign – a political or economic crisis, poor image or security issues. Strengths and weaknesses are mostly internal to the organisation, while opportunities and threats are external and relate to the campaigning environment.

Sources:
- Amnesty International, *Campaigning Manual*, p.13, www.amnesty.org/en/library/info/ACT10/002/1997
- JISC Infonet, www.jiscinfonet.ac.uk/tools/pestle-swot

Discussion exercises. © Water Integrity network

5 Understand the various stakeholders: Analyse the positions of the different stakeholders involved. A simple stakeholder analysis can be done by:

» Brainstorming a list of stakeholders (the people or groups affected by the issue or who can influence the outcome);

» Assessing whether they will be for or against the objectives, or whether they are neutral;

» Ranking your 'influentials' (allies, opponents and 'neutrals') in the order of how much influence they have over your 'targets' (the decision- or policy-makers).

6 Make choices: It is necessary to make some hard choices to concentrate resources and tailor the approach, and to follow up with contacts through sustained engagement. With a focus on a few targets, there is a greater chance of making a breakthrough. A more impersonal and untargeted communication may have a wider range of audiences but may likely have

little impact. Based on the stakeholder analysis and informed by an understanding of the policy process, the advocacy environment and your advocacy capacity, one can now choose what approach to take and which stakeholders will be the channels of influence. Note there is a wide range of approaches – from quiet, face-to-face lobbying with the targets at one end, to confrontational pressure group tactics at the other. Some approaches also require a large investment of time and do not produce results in the short term.

7 Determine messages and tactics: At this stage determine some tactical choices such as what 'tone of voice' to adopt in advocacy work (i.e. conciliatory or oppositional, authoritative or outraged, etc.). With this in mind, define the core message to deliver to your audiences – a short sentence setting out the change you want to bring about (and when). It may also include the reasons why you think the change is important. The core message must be brief and concise, and summarise what you are aiming for. This will help ensure communication is focused and coherent throughout the campaign.

TABLE 2: ANALYSIS OF TARGETS OF A WATER INTEGRITY CAMPAIGN

Target/Influential	Provincial government chief executive	District government officials	The media	Donor (a multilateral development bank)
How influential is this actor on the decision?	Highly	Not highly	Can be influential	
For, against or neutral towards our advocacy objectives?	Probably against	Against. But may change with intensive lobbying	Not known	Probably for
What do they know about the issue?	Very little exposure to the issue	Has more exposure to the issue	Little exposure to the issue – no known access to reliable sources	Some understanding
What is their attitude towards the issue?	Might have an interest in preventing water corruption	Might have an interest in preventing water corruption	Very interested in corruption 'scandals'	Not a priority, but open to being convinced given strong evidence
What do they really care about?	Getting donor aid into the province; keen to build trust and accountability required for donor assistance	Integrating water integrity measures into projects may increase their level of funding; attracting donor interest in the district	Circulation figures; interesting stories, not hard news	Increased efficiency of public services; cost-recovery of funded projects
Who has influence over them?	Donors, media	Donors, provincial government	Not known yet	Not known yet

Sources:
- WaterAid, 2007, *The Advocacy Sourcebook*, UK, p. 33.
- ActionAid, 2007, *Communications Toolkit*, South Africa.

8 Devise activities to engage concerned audiences to develop a favourable opinion about your advocacy: Concerned audiences are stakeholders who at the moment may remain passive spectators to the advocacy debate, but whose possible future intervention may tip the balance in your favour. The general public or taxpayers are an example of a concerned audience, especially if in the future they may respond positively to a petition-signing campaign in which numbers matter in swaying decision-makers to the right direction. Businesses keen to work under stable and transparent rules can also be a concerned audience. The community at-large, from whom the mandate for an advocacy campaign is derived, can also be a concerned audience. And the media, communication and media tools – such as press releases, video reports, street theater and so on – are used to reach concerned audiences. An action plan for concerned audiences can be made. The most suitable method of communication will depend on the audiences and the message to be conveyed.

BOX 1.4: EXERCISE: ROLE-PLAYING IN THE LIFT

Preparation: Divide yourself into two groups. The first group selects from among themselves who will play the role of minister. They then discuss whether they (and the minister) will support the adoption of Integrity Pacts in water infrastructure bidding (see Module 2 for an explanation and examples of Integrity Pacts). They prepare questions or statements the minister can use if approached by the media or advocacy groups. The second group selects from among themselves who will play the role of lobbyist. They then write down the core message they want to deliver to their main target, the minister, about Integrity Pacts.

The role-play follows. The minister and the lobbyist find themselves together in a lift. The minister smiles routinely to the lobbyist, who recognizes the minister and realizes this is the chance to make a pitch. The lobbyist has 30 seconds before the elevator door opens at the minister's floor. Play the roles convincingly and then switch sides.

9 Tailor your communications for the receivers of the message: Communication is an important tool for advocacy, and it is often said that no advocacy campaign should be without a communication plan.[2] In general it is important to make distinctions among recipients of your message: Are they the decision-makers? Are they 'influentials' or opinion-shapers? Are they concerned audiences? Are they media organisations? Below are some useful guidelines to consider:

» Policy-makers and opinion shapers (i.e. academics, politicians, community leaders) need detailed messages supported by rational arguments based on good evidence. Communication with this group should be personalised – letters, phone calls, meetings, etc.

» Public audiences. Communicate with public audiences using simple messages presented in an interesting and emotive way. There are advantages in being creative in designing these activities, as this increases the chances of being noticed. Apart from using the media, the many other ways of communicating with the public include posters, brochures, open meetings, street theatre and other events.

» The media. Media coverage can be gained in a number of ways, depending on the type of media targeted. The aim is to achieve more than a small article about a workshop or seminar. High-profile and in-depth coverage that relates to the issue of corruption and the conditions of the water infrastructure and governance is necessary. High-profile coverage can come from organising 'stunts'[3] and other photo opportunities. Newspapers and TV are more likely to cover the story if there are visual images they can use. The more creative the tactics, the greater chance the story will be covered. In-depth coverage in newspapers and magazines can result from encouraging journalists to write articles examining water corruption. Help them by providing all the information and contacts they will need, or persuade the editor to include an op-ed published under the organisation's name. In-depth coverage on radio and TV may come from persuading journalists to do investigations, but you can also obtain good results from live debates, interviews and phone-in shows. The best approach is to build direct and personal relationships with journalists, editors and producers. Not only will they be more responsive to people they know, they will be able to provide advice on the best approach to take. Don't just rely on a press release – get on the phone and talk to your contacts!

2 For more guidelines on communication and media work please see Module 2, in particular Part 3 (media issues) and references to ActionAid's Communications Toolkit at the beginning of the module.
3 A 'stunt' is a term used for attention-grabbing media devices or gimmicks. The campaigning group PETA (People for the Ethical Treatment of Animals) is well-known for getting celebrities to strip 'naked rather than wear fur'. ActionAid once invited the world's oldest primary school student, a 72-year-old man from Kenya, to visit the United States in a campaign to promote greater aid and funding for education. These two stunts generated and sustained wide media coverage and photo/video opportunities. The more creative the stunts are, the better.

**Uncontrolled diversion of Aghan Refugees'
drinking water in Western Pakistan.** © Joost Butenop

STAGE 4: ACTION PLANNING –
DRAWING UP THE ACTION PLAN

After identifying what should change and determining how to best influence change, the next step is actually to draft an action plan. The action plan is the document that consolidates the different steps in the advocacy planning cycle into a systematic whole. A sample template of an action plan could look like:

TABLE 3: EXERCISE: ACTION PLAN

	Objective 1	Objective 2	Objective 3	Etc.
Activities and Implementation	1a...date 1b...date 1c...date	2a...date 2b...date 2c...date	3a...date 3b...date 3c...date	xa...date xb...date xc...date
Targets and Influentials	1a... 1b... 1c...	2a... 2b... 2c...	3a... 3b... 3c...	xa... xb... xc...
Indicators or Measures of Progress	1a... 1b... 1c...	2a... 2b... 2c...	3a... 3b... 3c...	xa... xb... xc...
People Responsible	1a... 1b... 1c...	2a... 2b... 2c...	3a... 3b... 3c...	xa... xb... xc...
Review	date	date	date	date

Depending on how you want to manage your advocacy strategy, the action plan can be converted into a timetable that can serve as a day-to-day guide, or a logframe that is usually required by donors who may want to contribute resources to your advocacy.

Some groups recommend a 'reality check' after the action plan has been made. The Save the Children Fund, for example, suggests the following reality checklist:

» Are you ready to implement your plan? Are you clear about your objectives? Do you have your evidence and solutions in place? Do you know your audience? Do you have good contacts among your influentials? Do you know what activities you are going to carry out? Have you decided what advocacy style or approach to use?

» What are you expecting from your partners/allies? Are you sure about their motives and goals? Do they enhance your credibility? What will happen if they drop out of the picture?

» What resources – financial, technical and human – are available? What are the implications of your plan? Do you need to build in some training activities to your plan?

» How will you coordinate and monitor the different approaches you are using? Do you have a plan for integrating them and avoiding bottlenecks?

» Are there any risks? How will your activities affect the reputation of your organisation? How might it affect your funding to do other activities? Might you lose valuable staff? Could other current partners wish to no longer work with you? What can you do to mitigate any negative outcomes?

» What could you do if an unforeseen event happens? What are your alternatives, contingency plans or fall-back positions? External conditions may change and you may have to rethink your plans; build in flexibility so you are prepared for this.

» Review the SWOT analysis made in the earlier stages of the planning process. Do you still have the same outlook on your strengths, weakness, opportunities and threats?

STAGE 5: MONITORING AND EVALUATION

Monitoring and evaluation is primarily about knowing whether you are making a difference. It is often the most cumbersome and neglected stage in the advocacy planning cycle. Yet it is a vital part that can make campaigns more flexible, able to adjust to changes in the 'PESTLE' environment and, most importantly, determine whether the advocacy activities are making any difference. M&E is usually where science enters into the art and practice of advocacy. Such assessments do not need to be complex. Simple questions when answered frankly and thoughtfully may be enough: What went well? What went wrong? Why? Are we on track? Because of the importance of M&E, we have decided to include a full module on assessing campaigns and advocacy. A fuller discussion of monitoring and evaluation is presented in Module 5.

CONCLUSION

Advocacy can be made more systematic and methodical. It is good to use the typical stages in an advocacy planning cycle and prepare the user for the varied, multifaceted tasks of advocacy.

Becoming water mechanics gives women in Mahoba, India, more control to change attitudes. © Marco Betti

BOX 1.5: THE ADVOCACY PLANNING PROCESS

Advocacy is a process of influencing the attitudes and behaviour of targeted actors in order to change the policy and practice of governments and institutions.

Stage 1: Decision-making:

Commitment-making and organising a management plan to deliver, coordinate and monitor advocacy → The key goal is to make advocacy a collective effort driven by a community's political will and having a mandate that is widely owned.

Stage 2: Policy-agenda setting:

Identifying and understanding what needs to be changed; setting aims and objectives → Two key steps to take: producing or developing a policy paper, report or statement; and developing SMART objectives.

Stage 3: Advocacy-agenda setting:

Strategising on how to influence change → Suggested steps:

Understand the policy-making process
Pinpoint the decision-maker(s) (exercise: Influence Tree)
Understand the advocacy environment (exercise: PESTLE)
Assess your advocacy capacity (exercise: SWOT)
Understand the various stakeholders (exercise: Analysis of Targets)
Make choices, prioritiseDetermine messages and tactics

Stage 4: Action planning:

Activities to engage different decision-makers, 'influentials' and concerned → Draw up and fill in action plan template

Sources:
- ActionAid, 2007, *Communications Toolkit*. South Africa.
- Amnesty International, *Campaigning Manual*, 1997, p. 13, www.amnesty.org/en/library/info/ACT10/002/1997
- UKJISC infonet, www.jiscinfonet.ac.uk/tools/pestle-swot
- Save the Children, 2000, *Working for Change in Education: A Handbook for Planning Advocacy*, UK.
- WaterAid, 2007, *The Advocacy Sourcebook*, UK, www.wateraid.org/documents/advocacysb.pdf

NOTES

Advocacy Tools in Action

– Learning and Linking up with Others

Learning is not just about banking knowledge. More importantly, it is about the ability to deploy that knowledge in a variety of situations at the right time. Module 2 discusses examples of real advocacy work in action, in order to provide the user with some insights on how others have used and deployed their own knowledge and skills of advocacy. The examples presented here are sources of lessons as well as inspiration. At the end of this module the user should be able to:

» **Be familiar with as well as understand similarities and differences in how three international non-governmental organisations define their advocacy work, develop their advocacy strategies, respond to key concerns around advocacy work and implement advocacy activities.**

» **Understand processes that link water governance policy work to anti-corruption reforms, and be familiar with some advocacy tools for local actions for water integrity.**

» **Be familiar with media issues, understand the sensitivity of using the media for anti-corruption reforms in the water sector and appreciate the difficulties of evidence-based case-building.**

INTRODUCTION

Module 2 is divided into three parts. Part 1 presents a comparison of the views on general advocacy work of three different organisations - Amnesty International, WaterAid and ActionAid. Basic questions about advocacy are asked and answers are provided. These answers are excerpted from the advocacy guides developed by the three groups at different periods: Amnesty International's was published in 1997, WaterAid's in 2001 and ActionAid's in 2007. These three groups have been selected to demonstrate varying approaches to advocacy. Amnesty, the international human rights organisation, is best known globally for its pioneering campaigns in the most difficult of environments – countries with authoritarian governments typically intolerant of criticism about human rights. WaterAid is an organisation dedicated to delivering water supply and sanitation services to the poorest communities. Over the last few years it has supported its local partners to take on new roles: from doing only project-focused work, to doing both project work as well as policy-changing advocacy. Then, we look at ActionAid, another international anti-poverty organisation well-regarded for making issues of the poor highly visible. Key excerpts from the organisation's Communications Toolkit are presented. Communication is, undoubtedly, one of the most important tools for anti-corruption work.

Part 2 shifts the focus to advocacy tasks more particular and specific to WIN – what has been called 'water integrity advocacy'. This module presents examples of advocacy actions that can be developed when water governance policy work is linked to anti-corruption reforms. But more importantly for learning purposes, these examples demonstrate how activists addressed the particular constraints and local difficulties they faced. They show how advocacy work can be both creative and practical – such as creating new advocacy tools to deal with particular problems. Information is also supplied to facilitate the linking-up of interested users of this guide with the local organisations mentioned.

Part 3 delves more intensively into how to handle media issues for an issue as sensitive as corruption. Based on the experience of investigative journalists and campaigning organisations, this part discusses issues related to the role of the media, how to build strong stories and case-based evidence-building for advocacy.

Over time, WIN intends to expand the list of examples presented in this guide.

Ram Rati Malik's ethnic group in Beli, Nepal, have to drink water from this pond as they were excluded from the village pond. © Marco Betti

PART 1: ADVOCACY IN ACTION
– LEARNING AND LINKING UP WITH OTHERS

BOX 2.1: WHAT IS ADVOCACY?

Amnesty International
Campaigning Manual (1997)

Amnesty International faces difficult decisions every day in campaigning – the organised course of action to achieve change. Making the right choices at the right time in order to be effective is the skill of strategic campaigning. It involves choosing a specific course of action, on the basis of available resources, which will be most effective in achieving identified objectives.

WaterAid
'Advocacy: What's it all About'
Sourcebook (2001)

Advocacy is the work undertaken by development agencies and civil society groups to bring about change, or the process of using information strategically to change policies that affect the lives of disadvantaged people.

ActionAid
Communications Toolkit (2007)

Communications are about garnering public visibility for issues that affect poor people, in an effort to mobilise decision-makers towards social impact and change. Greater visibility creates space for the poor to speak directly to the public. To be visible in the media and enable change, we must inspire the public.

BOX 2.2: WHY IS A STRATEGY NECESSARY FOR ADVOCACY?

Amnesty International
Campaigning Manual (1997)

Strategic planning is a process of agreeing where you are now, deciding where you would like to go and preparing how you can best get there. Many forms and tools have been developed to facilitate and encourage strategic thinking and planning, the best known being SWOT (Strengths, Weakness, Opportunities, Threats). Strategic plans should be helpful tools rather than set formulas to be rigidly followed. Thinking strategically is not a specialised or difficult process. Simply asking yourself or others a few questions before taking a particular course of action can help ensure your plans are taking you in the right direction.

WaterAid
'Advocacy: What's it all About'
Sourcebook (2001)

Good planning is essential for effective advocacy work. We need to work out what our objectives are and how we can achieve them, define what activities we want to undertake and assign responsibilities for the tasks involved. There are many different steps in the advocacy planning cycle.

ActionAid
Communications Toolkit (2007)

Your strategy is the path you walk to get you from point A (where you are right now) to point Z (your goal – where you want to be). Your tactics are the individual acts, or steps, you take along that path. Never put tactics before goals and strategy, otherwise you'll end up in a direction that doesn't lead you towards your goal. The following 'road-map' can be used:

» Goal setting – long-term objectives; immediate outcomes that constitute victory; specific improvements in people' lives.

» Organisational considerations – resources, staff, desired outcomes, potential obstacles

» Identifying allies, opponents and targets

» Using the media

» Employing useful tactics – specific steps to reach goals

BOX 2.3: WHAT ARE KEY CONCERNS ABOUT ADVOCACY WORK?

Amnesty International
Campaigning Manual (1997)
Understanding the context

Campaigning and campaigns do not happen in a vacuum. They are affected by the context in which they take place. The conditions that affect campaigning can broadly be classified as 'internal' (related to Amnesty as an organisation) and 'external' (related to the world outside and the human rights issues on which Amnesty campaigns). Before rushing to find solutions for internal and external issues, check that you have identified the problem correctly. As Einstein said, 'the formulation of a problem is often more essential than its solution'. Identifying the problem may involve breaking it down into its component parts by listing all the 'symptoms'. Gather any background information by talking to the people involved. Then brainstorm, by generating as many ideas as possible, and then discuss and analyse. Solutions can be easy if you have correctly identified the problem. But do not commit yourselves to the most obvious solution before considering alternatives. List all ideas. Consult others. Then make the decision. Eliminate unworkable choices; look at combining solutions; look at potential costs, risks, benefits, rewards. Test the chosen solution.

WaterAid
'Advocacy: What's it all About' Sourcebook (2001)
Legitimacy, effectiveness and approaches to advocacy

» Should advocacy work be a separate 'project'? A case-to-case approach is helpful. » How can national and international advocacy work be linked? Concerns have been raised about the legitimacy of NGOs making claims on behalf of others or 'crowding out' smaller groups. There can be a symbiotic relationship between policy and grassroots work in which each side is enriched through contact with the other. » How can we tell if our advocacy is making a difference? There are techniques and approaches that can be used to monitor and evaluate advocacy activities. » How do local communities fit into advocacy work? They are central as key actors and sources of information and analysis. They are often the most powerful advocates on issues. » Our organisation is too small and can't make a difference. Advocacy takes place at various levels. » We don't have enough knowledge and support. Working in alliances helps pool knowledge and resources. » Advocacy is confrontational. Not necessarily; there is a wide range of approaches to advocacy work. » What about the dangers of speaking out? In some contexts speaking out can be dangerous. Working in alliance with other organisations can help reduce the risks to individuals.

ActionAid
Communications Toolkit (2007)
Handling controversial issues (such as corruption)

In some cultures (and contexts) certain topics can be more controversial than others. This doesn't mean they can't or shouldn't be discussed. When addressing a controversial or sensitive subject, simply approach it thoughtfully and be sure to describe what you are doing to tackle the problem. Highlight any successes or changes that have occurred as a result of your work. For example, political issues must be presented in terms of protecting basic rights, encouraging good governance and working in partnership with local and national governments (instead of being directly confrontational). Legal issues can arise from campaign activities or general communications. Whether media materials need a legal check is left to your judgment. Ask for a legal review if your materials contain any of the following aspects: » References to current or past opponents in litigation, or staff involved in current legal proceedings » Potentially defamatory statements, when there may be doubt about the foundation in fact » Sensitive or confidential information, such as national security issues or leaked reports on aid funding or corruption » Intellectual property issues » All website protest letters that involve public supporter participation

SUGGESTED EXERCISE: GROUP DISCUSSION – the group leader goes through the ways these three organisations do their advocacy and gets participants to answer the questions below. A monitor is asked to take down notes of the discussion: » In what ways do the three organisations have similar approaches to advocacy work? In what ways are they different from each other? Go through each section of the reading again. What key lessons impress you? What would be useful for your own work?

Group discussion. © Water Integrity network

BOX 2.4: HOW DOES ONE DO ADVOCACY?

Amnesty International
Campaigning Manual (1997)
How we achieve our goals

Letter-writing and petitions; speaking tours, public events and protests; contacts with embassies; and celebrity support are some campaigning techniques and actions Amnesty can use to protect and promote human rights. Each has its own advantages and limitations, and should be integrated with other techniques, such as media work, outreach and lobbying. Campaigning is and should be dynamic. Campaigning materials are the basic tools for informing people, building awareness and getting action during campaigns. The media is central to Amnesty's campaigning. A good understanding of the media and how it can help is important for successful campaigning. Reaching out to other groups (business, religious groups, etc.) is at the heart of campaigning. We reach out because human rights are the responsibility of all, and we can be most effective when we can persuade others to act in defense of human rights. Lobbying – usually associated with quiet words behind closed doors – is important and can be used with other campaigning methods to persuade governments to listen and take action. Campaigners want to know if they are making a difference. Monitoring and evaluation is a tool to improve effectiveness.

WaterAid
'Advocacy: What's it all About'
Sourcebook (2001)
Steps in the advocacy
planning cycle

» Identify issues. There are many issues in which change is required. Selecting one involves prioritising a number of concerns. » Analyze. Research increases efficiency and avoids damaging mistakes. Opportunities are often missed because of evidence that is poorly researched or vague. » Set clear objectives. Advocacy objectives should be SMART (Specific, Measurable, Achievable, Relevant and Time-bound). » Identify targets. 'Who we want to influence' (targets) are also stakeholders. Identifying and knowing more about them is important. » Identify allies. Identifying allies is essential for sharing knowledge, gaining access to resources, improving visibility and bolstering solidarity. Partnerships strengthen civil society and advance the social change process. » Define the message. The message is the summary of the change you want to bring about and by when. It must be brief and concise. » Choose approach(es) to use. Advocacy approaches and activities vary greatly: from cooperation to education to persuasion to litigation to contestation. » Select tools. The selection of advocacy tools builds on your analysis of how targets are most likely to be influenced. » Assess resources. Advocacy activities always need a realistic budget – careful thought should be given to what may be required. » Plan for monitoring and evaluation. Monitoring impact is often considered difficult, but it is a vital part of the work. » Draw up an action plan. What, when, how, who's responsible, etc.

ActionAid
Communications Toolkit (2007)
Tools for communication

» Proactively engage the media. Know the media. Build ties with them. Know when to pitch and then pitch your stories. Monitor coverage. » Basic rules for press briefings: prepare statements, dress conservatively, stay with agreed messages, use bridging sentences where possible, never lie, make your point and stop, stay calm, provide a media pack of information, set up a media enquiry desk. » Respond to media queries. Listen carefully to the journalist's request. Try to capture the angle, ask questions and offer ideas for linking ActionAid programmes to the journalist's story. » Raise the media profile of emergencies to enable ActionAid to respond better to this work over the long term. » In a crisis situation the communication objective is to quickly adjust ActionAid from being in a position that is merely reactive to one of relative control. » Build strong stories. Dig deep to find the real story. Human stories are so important. Good case studies describe the issue and tell the wider story of how people are affected. » Images are powerful and vital elements. Challenge visual stereotypes and present images of daily effort, resilience, innovation and achievement of communities. » Build effective websites. » Produce publications with impact.

PART 2: ANTI-CORRUPTION TOOLS IN ACTION IN THE WATER SECTOR

Many groups and individuals who have been working on water governance have increasingly found corruption to be a major issue that must be addressed in their work. However, they have scant experience or are not accustomed to targeting corruption directly, hoping instead that other standard technical or economic planning will do the job of curtailing corruption's excesses. The inauguration of WIN, along with the publication of Global Corruption Report 2008, clearly established that corruption in the water sector is rampant, and that water sector professionals must begin to see anti-corruption work as an integral part of any water governance policy or planning.

In the same way, anti-corruption activists (such as national chapters of Transparency International) now recognise the importance and need to link their anti-corruption work to water. But many are not familiar with the water sector and its corruption risks and consequences. Their ongoing work may be focused more on the judiciary or the private sector, national procurement systems, or broader governance reforms such as National Integrity Systems. Their expertise and experiences are urgently needed to inform similar integrity initiatives in the water sector.

Linking water governance policy work to anti-corruption reforms is thus critical and necessary. Perhaps the best way to begin such work is to state the obvious: water connects with everything – from agriculture to infrastructure, from health and hygiene to power generation, and from the environment to construction. Nearly all development issues or poverty alleviation work,

even basic health and hygiene, is linked in some way to water. What this underscores is that water governance policy is not separate, and in many instances is in fact inextricably linked, to anti-corruption reforms. Many Transparency International chapters have undertaken action in the four water sectors (water supply and sanitation, agriculture, environment and energy), even if they are not obviously stated. Another example is that fighting corruption in humanitarian assistance is also about ensuring the availability of water and access to sanitation in disaster-stricken areas. Recently, there has been a lot of anti-corruption advocacy regarding private sector involvement in water treatment and distribution. The bottom line is that all these links provide an important platform for both water governance and anti-corruption work.

An important anti-corruption tool that can be of critical importance in the water sector is the risk map (discussed in more detail in Module 3). In all of the four major water sectors, decisions are made in terms of policies, regulations, project design, allocation of budgets, procurement, contract implementation, and operation and maintenance of services. All of these decisions are made by politicians and public officials who can be vulnerable to pressures exerted by the private sector, or who themselves may put pressure on the private sector to pursue their own personal gain through the decision-making process. This can create opportunities for corruption. It must be stressed that the motivation for corruption is not just about money. Nepotism, distorting performance reports to boost public image, or clientelism (decisions driven by exchanging favours) are corrupt practices not necessarily driven by money. However, risks will be much lower if these decisions are surrounded by transparent procedures, accountable officials, institutional control systems, and civil society participation and monitoring. Risks increase when decisions are made behind closed doors, with no publicity and a high level of discretionary power.

BOX 2.5: NATIONAL INTEGRITY SYSTEMS

The National Integrity System (NIS) assessment approach provides a framework anti-corruption organisations can use to analyse both the extent and causes of corruption in a given country, as well as the effectiveness of national anti-corruption efforts. This analysis is undertaken via a consultative approach, involving the key anti-corruption agents in government, civil society, the business community and other relevant sectors with a view to building momentum, political will and civic pressure for relevant reform initiatives.

Source:
- Transparency International, National Integrity System, www.transparency.org/policy_research/nis

Ground cracks due to lack of water in the "High sertão", Alagoas, Brazil. © Pablo Alfredo de Luca

Analysing how decisions are made and pinpointing pressure or risk points provide a good overview not only of more efficient approaches but also where corruption prevention measures may be most useful. For example, the corruption embedded in certain social networks (and therefore typically invisible) can be disrupted with a little dose of competition. Small contractors unable to afford large sums of cash for up-front bribes may feel compelled to expose pressure or risk points in a contracting process in order to 'level the playing field'. Aside from risk maps, other tools can link different sectors together in achieving water integrity.

BOX 2.6: TRANSPARENCY INTERNATIONAL'S INTEGRITY PACTS

Transparency International's Integrity Pact is a tool that shows how procurement can be protected from bribery and other forms of corruption with the support of civil society. The Integrity Pact is an agreement between a procuring agency and the different bidders on a project. It serves to protect a bidding process from bribery, collusion and other forms of conduct that can undermine the integrity of a public procurement process and/or the contract implementation. It is a tool that requires: a) strong commitment and political will from public sector authorities responsible for the procurement; b) the involvement of civil society as a third, independent party to monitor the transparency and objectivity of the whole process; and c) the commitment of private sector bidders in signing the pact and complying with its provisions. It is meant to create confidence in the process and level the playing field for all participants. More than 30 TI chapters have been promoting the adoption of Integrity Pacts in their countries over the last 10 years, and the tool has been used to protect significant amounts of public funds in all sectors and all types of public contracts.

EXAMPLES OF WATER INTEGRITY TOOLS IN ACTION

La Yesca Integrity Pact – Mexico

Transparencia Mexicana (TM) has been one of the most active Transparency International chapters in this field, having promoted more than 50 Integrity Pacts, such as one for the 750-megawatt hydroelectricity plant known as 'La Yesca' in the state of Nayarit. The project includes investments of approximately US $850 million and creates 10,000 direct jobs and other economic benefits through related activities. This was the first time the federal government, through the Federal Electricity Commission (CFE), accepted the independent monitoring of a bidding process from the beginning through to the signing of the contract. This hydroelectricity plant will be the highest of its kind in the world (210 meters high) and will be completed in 2011.

From June 2006 to October 2007 an Integrity Pact was implemented. Transparencia Mexicana appointed an independent expert to act as 'social witness' to the process, based on this person's professional experience and ethical values. Typically, appointing individuals to such positions is fraught with risks. Individuals can be more easily co-opted than organisations. Hence, this expert had to be confirmed by the chapter, especially since opening the process to a broader group of actors with different interests limits the possibility of co-optation. This expert became the spokesperson representing Transparencia Mexicana and the monitor of all stages of the procurement process. The bidders were required to submit Unilateral Integrity Declarations, signed by their highest-level officials, to Transparencia Mexicana as a precondition for bidding on the contract. Declarations were also submitted by CFE officials and all government officials directly involved in the contracting process. Seventeen companies purchased the bidding documents for the contracting process. Of these, 14 did not submit proposals, and the remaining three consortia submitted bids. The bid evaluation process comprised technical and economic grounds. In the end, the contract was offered to the consortium that proposed a project cost of US $645.6 million, a figure below the government's allocated budget for the project. The government committed itself to make public the final report at the end of the process. Transparencia Mexicana also published the final report on its website, highlighting the transparency of the process and the fair treatment received by participants, and how public and private sectors worked together in what would otherwise have been a cutthroat process.

El Cajón Integrity Pact - Mexico

Transparencia Mexicana is also promoting an Integrity Pact related to the bidding process for various engineering works on another large infrastructure project built in 2003 – the hydroelectric plant called 'El Cajón', billed as Mexico's most important infrastructure project of the decade. Thus the federal government, via the Federal Electricity Commission, (CFE) accepted the independent monitoring by a civil society organisation of a bidding process in the energy sector. Expectations for the case were especially high, given the size of the project and the sector's reputation as being tainted by high levels of corruption. As with other Integrity Pact cases, El Cajon involved the designation of a 'social witness' (testigo social) as an independent and technically competent monitor, Unilateral Integrity Declarations submitted by the bidders, and Unilateral Integrity Declarations submitted by public officials. Transparencia Mexicana met with each of the bidders and monitored the bid evaluation.

Successes of the dam project include the CFE's modified contracting outline, the reported increase in competition in the contracting process, and budget savings. Following this first experience, the government invited Transparencia Mexicana to participate in four other bidding processes, the most recent being La Yesca.

Transparency International Integrity Pact - Pakistan

A No-Bribes Integrity Pact agreement was signed between the Karachi Water and Sewerage Board (KWSB) and Transparency International - Pakistan in connection with the awarding of contracts for a major water project in the city. This resulted in a clean and open bidding process monitored by TI-Pakistan. The pact covered contracts for consultancy services and for all the physical works and supplies associated with the project. TI-Pakistan executed the first phase of the project in 2002, and the Integrity Pact was signed by all participating consultants and contractors involved in the Greater Karachi Water Supply Scheme. The whole process resulted in total savings of more than 15 percent of project cost.

Public Procurement Rules – Pakistan

The Department of Irrigation and Power of the Government of Sindh, Pakistan, is working with TI-Pakistan on the application of Transparent Public Procurement Rules. TI-Pakistan initially pressed for the acceptance of the Public Procurement Rules and developed a procurement manual not only to serve as a guide in implementing the rules, but also to be a sourcebook in the training of officials. The manual includes standard bidding documents and shows ways to structure and design contract documents to eliminate or reduce delays to a bare minimum, thus ensuring that all time-based decisions will have predictable milestones for processing and approvals. TI-Pakistan plans to computerise the procurement system and provide further services such as preparing the website of the Ministry of Irrigation and Power, where the procurement manual and all contract awards and related reports can be made public.

Empty water pipe. © Kai Wegerich

The Kerala Sanitation Programme – India

Corruption problems have contributed to poor sanitation and hygiene in the highly populated regions of Kerala. Numerous opportunities for diverting public funds emerged, due to complex planning, unnecessarily long construction processes, the involvement of large sums of public money and the intervention of many different actors at different levels. Working jointly with local communities, civil society organisations and the Kerala government, an organisation called the Socio-Economic Units Foundation (SEUF) carried out a participatory and community-based household sanitation programme to support villagers in building their own sanitation facilities. The programme has served more than 200,000 families in 200 communities and has become a model for other sanitation programmes.

Anti-corruption strategies used by SEUF included Access-to-Information Methods. This ensured programme rules were known by all and that information was distributed to participants through a variety of channels and levels. The information enabled families to understand the technologies offered, become aware of construction timeframes and costs, and know what was needed in training classes on reading financial data, developing construction checklists and taking part in socioeconomic mapping. Additionally the names of households eligible for subsidies, along with the introduction of complaint mechanisms, were publicly posted. This programme demonstrated the central importance of including all stakeholders, especially those at the lowest level, in order to achieve success.

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Anti-corruption Agreements – Colombia

Another interesting tool, implemented by the private sector as a self-regulating effort, is anti-corruption agreements to enhance the integrity of its relationship with the public sector. In 2000, suppliers of water pipes in Colombia faced a serious lack of transparency in their business environment, particularly in relation to public sector procurement. This gave rise to mistrust and a crisis of credibility, as well as the loss of public funds due to the inflated cost of products resulting from corruption, to the detriment of the quality of public utilities. This situation became unmanageable for the companies and the trade association. In this context Acodal, the Colombian Sanitary and Environmental Engineering Association, asked Transparencia por Colombia (TC) – the Transparency International national chapter in Colombia – for support in finding solutions to the problem. This initiative created the opportunity for the design and application of the Water Pipes Anti-Corruption Agreement in Colombia.

The sectoral anti-corruption agreement was signed in April 2005 by all 11 water pipe manufacturers involved in public tenders with the government, both national and international companies which accounted for 95 percent of market sales. The agreement came to fruition as the result of a lengthy period of discussion and negotiation during which the companies touched the nerve of corruption in their business sector, defined the motives that led them to become involved in the agreement, and identified the main corruption risks to which they were exposed. Smaller contractors unable to afford bribes and that had intimate knowledge of risk points in the contracting process were most active in introducing safeguards. They stated the precise measures to prevent and control, and established a follow-up system to check compliance with the agreement, along with a penalty system for those failing to comply.

In the agreement, the companies committed to adopt a clear anti-bribery policy to guide their business relations. They defined guidelines regarding the prohibition of different forms of bribery and also agreed on particular guidelines on price policy, distribution, sales schemes and transparent procurement. The agreement's strategic focus on the ethical issue as the pillar for business decisions became a motivation and a challenge for the future. In this scenario the companies, through self-regulation to prevent bribery practices, are contributing to the development of the country and the development of public confidence in reliable and organised markets, as well as in transparent business relations in the water sector.

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The 'Agua Transparente' Programme – Colombia

Agua Transparente was initiated in early 2008 by the Colombian Ministry for Environment, Housing and Development. The programme aimed to enhance control over public funding and expenditure in the Colombian water sector by introducing mechanisms for transparency and accountability in pre-contractual negotiations and tendering processes. The programme marks a crucial step towards more effective national-level legislative reform for preventing corruption in the Colombian water sector.

The programme includes making information about tendering processes and financial accounts available to the public, along with including union participation in project selection processes. A second component of the policy is supporting officials involved in tendering processes and project selection. There is also a system of transparent hiring and transparent auditing that obliges contracting companies to publish online all information related to their hiring processes. This information is made available for the general public on the ministerial website, offering all stakeholders an equal opportunity to enquire about the status of a particular project.

The Agua Transparente programme seeks to identify and establish mechanisms of cooperation between different public actors involved in the tendering and/or project implementation processes. Inter-institutional cooperation is particularly important for jointly developing technical support in pre-contractual negotiations. The key principle of this tool is the creation of public awareness and community involvement in overseeing contractual projects in the water sector. Moreover, it introduces mechanisms for a periodic verification on the status of the project.

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Citizen Report Cards in Bangalore – India

The Public Affairs Foundation of Bangalore, India, introduced Citizen Report Cards (CRCs) in 1994 due to the poor quality of service delivery and low levels of public accountability. Citizen report cards capture feedback from the poor and other marginalised groups about the quality of public service delivery. A seven-point rating scale was used to quantify levels of citizen satisfaction levels with regard to service delivery, dimensions of corruption, staff behaviour and so on.

The CRCs' findings were widely publicised through the media. This focus enabled personal stories about corruption to be scaled up into a powerful collective body of evidence. The CRCs empowered citizens and agencies with information. It contributed to a significant increase in citizen satisfaction with the services and a visible decline in corruption. Public officials were brought together in workshops and seminars, which saw active participation from civic groups, to address issues uncovered by the feedback. Increased public awareness of government inefficiencies and other related concerns triggered the formation of more than 100 civic groups in different parts of India, as well as the launch of many citizen-government campaigns for transparent public management. The report card exercise was repeated in 1999 to provide a progress report, in which partial improvement in some areas was noted. Four out of eight public agencies surveyed had initiated steps to resolve customer dissatisfaction.

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Stamp launched by the Nigerian Postal Service to raise awareness to the fight against corruption. © Water Integrity network

Kecamatan Development Project – Indonesia

The World Bank-supported Kecamatan Development Project (KDP) in Indonesia is fighting corruption at the grassroots. The programme covers a scope of more than 34,000 villages across the country and has supported Indonesia's water sector by building 7,178 clean water supply units, 2,904 sanitation units and 7,326 irrigation systems. Forms of corruption included bribing officials to get projects, cuts made by upper levels of government, illicit fees and under-delivery of materials/services. As a result the KDP built anti-corruption measures into its projects, which emphasised transparency and information-sharing throughout the project cycle.

One of the key principles was that decision-making and financial management should be open and shared with the community. Some strategies used in the project include: reducing discretion through fixed grants instead of flexible funding in different places; reducing transactions by sending money directly to district accounts; promoting competition by allowing villages to buy infrastructure on the open market and using public signboards; readable and shorter documents (maximum of two-page documents for all procedures); and simplifying government procedures.

Three important lessons were learnt from these projects. First, a weak evidence base regarding corruption often hinders effective anti-corruption reform. Second, corruption is dynamic and changes its form, thus action must account for different contexts. Finally, monitoring and evaluating responses is a key to success.

For more details, contact:
Kecataman Development Programme
www.kdp.or.id

PART 3: SOME MEDIA ISSUES IN WATER INTEGRITY ADVOCACY

It is generally acknowledged that a communications strategy is an important tool that any anti-corruption advocacy should NOT be without. Based on the experiences of investigative journalists and campaigning organisations, Part 3 discusses the following issues: understanding the role of the media, building strong stories and developing case-based evidence-building for advocacy.

The media can be a 'double-edged sword' for anti-corruption reform

Most of WIN's advocacy targets – the people or institutions we are trying to influence who can change policies and decisions – care about their public image. The bottom line is that the media – regardless of their role, form or audience – are the maker and shaper of images: they can strengthen or destroy reputation, credibility and legitimacy. It is a fact that governments, multilateral organisations, companies and even non-governmental organisations most often change their behaviour in response to what is reported in the media.

However, because of the often sensitive nature of corruption issues, it is important to take extra care and thoughtfulness when using the media for water integrity campaigns. The appeal of using the media should always be balanced against its risks and hazards. For example:

» The media can play an important role in building awareness and shaping public opinion around issues of corruption and needed reforms. But the media can also be used to confuse the issues, divert attention from the changes that are really needed, or even blunt public opinion. In many cases the media tend to sensationalise individual cases rather than focus attention on forms of corruption and the issues that breed corruption. Reporting tends to be fragmented, i.e. similar cases are not typically linked together to demonstrate how certain forms of corruption have become institutionalised. This can divert attention from the need to develop reform strategies focused on preventing similar future occurrences. More substantive analyses are necessary and must be encouraged in media reporting, especially because of the media's role in helping to develop a common language and a more incisive understanding of corruption and its impact.

» The media can structure the framework and nature of the debates and thus generate the desired action. But many media campaigns have also backfired, generating exactly the opposite response from the targets. Even the most savvy and sophisticated campaigners carry baggage of media campaigns gone wrong. For example the publication of corruption cases may alienate decision-makers from cooperating with a given group. Many governments seek to insulate their policies from the ups and downs of public opinion. Hence, a debate in the 'court of public opinion' may make them more defensive rather than open about changing policy, especially if media discussions become confrontational rather than facilitating dialogue. It may be useful to test reactions first, or put up 'trial balloons', before releasing all your relevant messages and materials to the media.

» The media can apply direct pressure on the targets of advocacy by placing them in the spotlight. On the other hand, campaigning or pressure groups are sometimes dismissed as resorting to media and publicity work when they are losing the argument, or when they cannot win debates inside the policy-making room where actual decisions are made. Another risk of putting targets in the spotlight is that it sometimes diverts attention away from the real task at hand. For example, 'lifestyle checks'[4] of public officials create a lot of furor but often very little discussion on the serious anti-corruption reforms that are necessary.

» Media coverage of an issue can make it possible for organisations to get into the policy-making room to put forward more detailed arguments. Media coverage also often enables other important information to surface or resources to be raised. However, a low-key visit to the policy-maker's office to quietly present analysis and put forward proposals can be a more time- and resource-efficient way of getting the change you want.

» The mass media can be the best way to communicate information quickly to the greatest number of people. However, it can also be the best way to destroy your own reputation, especially if the claims you are making are based on faulty, weak or improperly researched evidence. Never go to the media on flimsy grounds, or with unverified evidence or unsubstantiated claims. Better secure than sorry.

Note there could be official or self-censorship in certain countries or contexts, or an environment where there is less freedom to speak and journalism can be a dangerous profession. Communications objectives change radically in such situations.

Given these 'pros' and 'cons', what then could media objectives be, especially where there are more than enough opportunities to use the media positively? A possible starting point is presented below. A media strategy could, for example, aim to:

» Establish WIN as an authoritative commentator on water governance and anti-corruption reforms;

» Develop active and reciprocal working relationships between WIN and individual journalists or news organisations, or even advocacy targets; and

» Build WIN's public image as an effective and credible campaigning organisation and a source of solutions that enables efficiency, transparent bidding processes or sustained community involvement.

Clear media objectives integrated to your overall advocacy objectives are essential. Where opportunities for media coverage abound, it is almost always helpful to use the media. Just don't underestimate the risks and hazards that come with it.

Building strong stories

The media tends to use 'stories' they think will interest the public. Building strong stories to present to journalists, news organisations or popular broadcast programmes is critical in communicating water governance and anti-corruption advocacy. Digging deeper to present real stories enables anti-corruption activists to achieve their media objectives more efficiently.

To illustrate, let us look at two reports with very different treatments of a single issue – the lack of toilets in a slum area in Kathmandu, as mentioned in ActionAid's Communications Toolkit. The first report was standard 'hard news', 'a factual report without opinion, dealing with a serious topic or event'. The hard news provided the 'what', 'where', 'when', 'how' and the 'why' concerning some 1,000 slum-dwellers in Kathmandu lacking toilets, and the misery and health hazards they face as they went about their daily lives. It was a good, everyday piece of reporting. But then a second report came out. It was structured as a case study about Lohla, a young 'butcher caste' woman who had never been outside the slum community until the day a local NGO organised for her and other community members a trip to Mumbai to see a latrine project. The second report, using direct quotes, described how Lohla was impressed by what she saw in a similar but cleaner, healthier and therefore happier community in Mumbai. After the visit Lohla vowed never to marry until her own village had toilets, too. For media outlets that published the story, Lohla's case study was far more interesting than the hard news about the lack of toilets.

4 'Lifestyle checks' are typically reports about extravagant living by officials they cannot afford on their salaries. In many countries in Africa, local officials who cannot afford but drive BMWs are often regarded as having benefitted from corruption.

Migrant workers in Bangalore, India, lacking access to drinking water collect it from a leaking pipe that carries water to various apartments.
© Pattabi Raman

Stories about people are often preferred over hard news, simply because it is easier to connect with other people than with cold facts and figures. A real story of a person such as Lohla, which gives hard news a face and a train of events that is easier to remember, is a powerful tool to deliver messages, discuss problems and present solutions. When infused with substantive analysis and linked to other relevant stories (for example, funds for toilet construction in Lohla's village may have been swallowed up by illicit overpricing of cement and other materials), it can even be more powerful. A relatively complex issue is presented in a much more simple and straightforward way that more readers or viewers can identify with.

Another example is the community report cards in Bangalore (mentioned in Part 2 of this module) that captured feedback from the poor and other marginalised groups about the quality of public service delivery. The CRCs became widely publicised through the media, because it enabled personal stories about corruption to be scaled up into a powerful collective body of evidence, while also presenting hard news about the quality of public service delivery. The report cards were simply the community's voice amplified many times to deliver more strongly the appeal or demand for improved public services. As ActionAid further notes, 'case studies (about people) make the abstract and academic real and help audiences connect more strongly and emotionally with our work. Case studies not only have a primary role in our media work, they are also essential to our fundraising, policy and campaigning work'.

A good case study is one that describes the issue and tells the wider story of how people are being affected. WIN is very much in a position to develop plenty of case studies and strong stories that can inspire others to become fascinating storytellers of determination, change and innovation on the anti-corruption front.

Case-based evidence-building for advocacy

Users of this guide at some point may need to present hard evidence of corruption for their advocacy. Research into wrongdoing, done carefully and based on solid fact-finding and evidence-gathering, can be a most powerful components of a media strategy. Case-based examples linked to the broader context of recurring events of institutionalised and socially reproduced corruption can be the strongest stories that can trigger policy change, inspire others and break even the most sophisticated corruption schemes. It is therefore necessary to discuss an introduction into investigative reporting – which simply means case-based evidence-building for advocacy.[5]

While indeed a daunting task, it is quite possible for ordinary people, either in groups or as individuals, to do their own evidence-building. However, it is wise to mention some words of caution. Such a task can be tricky and turn out to be more complicated than you think. Collecting and building evidence requires skill, patience and a nose for wrongdoing, which is best honed by practice rather than just by reading through references (such as this guide) or training in classroom-based seminars. The basic task of investigation is to track, gather, examine, study or verify facts and information. Few mistakes can be made in this basic task. The next step, however – drawing hypotheses and conclusions – is where serious and major mistakes are often made.

It has been pointed out that the investigative process is an activity found in all areas of human endeavor. Academics, economists, medical doctors, repairmen and others in their respective professions engage in investigations daily. Even a shopper in search of the best bargain can be an investigator: asking questions, looking for signs, weighing options or examining how people behave. Yet it is good idea not to underestimate what it entails. Investigations do not always lead to the desired solutions. Rather than resolve issues, investigations instead can open a Pandora's Box that no one is yet prepared to deal with. The application of logic and sound reasoning do not always fit well. No single textbook or formula is possible. The following points merely provide an introduction:

» Before starting on the task of evidence-building, it would be useful to state the objectives of the investigation or research. Is it about a specific case or more about the institutionalised forms of corruption that need to be investigated? Note as well that evidence-building is most effective when performed in a group or through collective efforts that involve diverse actors with distinct yet overlapping insights into corruption that can be complementary and enriching.

» The main task of evidence-building is gathering information, and the quality of such information varies greatly. For example, what is often collected hearsay, speculation or noise can be useful, but this does not build a case compared to, for example, the testimony of a witness (the opposite of hearsay) who actually delivered the bribe or the statement of a victim who was threatened. The tipping point is always the possession of the 'smoking gun' evidence – the conclusive evidence of wrongdoing that is nearly impossible to dispute. A public official caught red-handed accepting a bribe is an example of 'smoking gun' evidence.

5 Important note: Chapters of Transparency International refrain from investigating specific and individual cases of corruption, according to their Charter. This is to avoid being embroiled in messy legal disputes, so chapters can thus focus exclusively on fighting structures and forms of corruption.

» Professional investigators invest time, effort and resources to study and become familiar with relevant laws and academic literature on the cases they are building. There is nothing like doing your homework. Legal statutes and academic reading provide the grounding necessary in setting investigations in the right direction, but can be boring or too tedious for most people. Also, it is almost impossible to review all relative laws, by-laws and statutes beforehand. It can simply be a waste of time. Yet doing research on corresponding legal norms that prevent or sanction corruption right from the beginning – when the investigation is still being planned – can be an important investment of time that sets you off in the right direction.

» Talk to people – they are sources of information. Get quotes and official statements, get opinions and ask them to explain documents or confirm what you already know. Think in terms of a 'cast of characters' when collecting evidence – there are main actors, supporting players, people affected, experts or silent observers who may possess valuable insights or information. Think in terms of losers or winners, tipsters or whistleblowers, friends or enemies. But always check for credibility. Ask open-ended questions (not yes-no) that clarify (What exactly do you mean?), that probe (How do you know that?), that challenge objectivity (Your critics say that…), and that check for motive. Some whistleblowers motivated by revenge (for example, those who lost out on or were excluded from a corruption deal) may be providing data that is more sensational and less accurate. But even sincere whistleblowers who provide genuine data may also have incomplete information about what is going on.

» Get documents and track the paper trail. These can be considered as the investigator's 'insurance policy' – the hard evidence to back up claims and positions to be made. Infrastructure projects and public expenditures always have a paper trail – budget proposals, transcripts of hearings, terms of reference, bidding procedures or project documents. They can sometimes even be in electronic form or available via the Internet. Incorporation papers of bidders, company reports and yearbooks, and directories are often useful, publicly available documents. But remember that like people, documents can lie. The information also needs to be verified, or 'triangulated' (checked against other sources). Establishing insider allies can also be a useful step in getting access, especially for documents that are legally in the public domain yet are being kept away from view by corrupt officials. Internal documents can help to show discrepancies in officially published data.

» Know how to spot a red flag (see Exercise 2 in Module 3). The most obvious red flags are: absence of public bidding; links between bidders and those involved in awarding contracts; last-minute changes or insertions in the budget law; overpricing; prescribing high-tech, more expensive technology when cheaper and more readily alternatives are available; intervention of powerful patrons; the award of perks; lax auditing; documents with improbable or illogical information; etc. But red flags must be verified, too, because sometimes they can be caused by simple administrative errors rather than corruption schemes.

» It is good practice to always check any individual case you have identified against other similar cases in the past, to determine why or how specific forms of corruption have become institutionalised. Using data from previous investigations can be very useful if the analysis and presentation of the recycled data is framed in a contextual manner. For example, auditing reports often cite individual cases of corruption but do not contextualise why the problem occurs (and or continuously occurs), or how it can be avoided, prevented or sanctioned after it occurs.

As a respected group of crusading journalists concludes, investigative reporting is simply good reporting. What makes it different from other types of reporting is that while it often takes a longer time to research, it reveals new information, not just the results of someone else's investigation. Investigating reporting is based largely on documents and extensive interviews and may involve some crime-solving tools and methods.[6]

Case-based evidence-building is not about muckraking or picking fights with public officials suspected of corruption. It is about focusing on the accountability of institutions and individuals wielding power and making that power more transparent. It is about a belief in the watchdog role of civil society and the media, and in their power to catalyse reforms.

6 The Do-It-Yourself Guide on Investigative Reporting published by the Philippine Center for Investigative Journalism (PCIJ) is listed as reading on the World Bank's and UNDP's websites. PCIJ reports are widely used in journalism schools in many countries, including the United States. It was PCIJ's reporting on the property acquisitions of former Philippine President Joseph Estrada that led to his conviction in 2007 of the crime of plunder.

Buying black market water, Luena, Angola.
Image courtesy of WEDC. © Wayne Conradie.

CONCLUSION – ADVOCACY TOOLS PRODUCE ANTI-CORRUPTION SOLUTIONS

The preceding parts of this module – all drawn from actual experiences and work of organisations in different parts of the world – enumerate various tools that have been used to influence change. Familiarity with the various tools and how others have used them is an important step towards developing a comprehensive understanding of advocacy.

Some tools are simple, while others are more elaborate or complex. There are certain advocacy products – produced by using some tools – which later on become tools in themselves. For example, research tools were used to produce GCR 2008. But the GCR can also be used later on as a tool in itself for building awareness or as centerpieces for advocacy campaigns when they are launched locally for more ground-level anti-corruption initiatives.

What can be classified as 'simple tools' are such devices as the 'influence tree', the SWOT analysis or SMART objectives. More elaborate tools mentioned include the campaigning manuals, advocacy guides or toolkits of different organisations. Reports that clearly lay down the policy agenda can also be considered a more complex tool. These basic tools in the advocacy trade, so to speak, have led to development of anti-corruption solutions particularly suited to more defined environments and more specific objectives, such as:

» Integrity pacts
» Anti-corruption agreements
» Custom-made procurement rules
» Citizen report cards
» Open financial management and decision-making

Media-oriented tools include the investigative report and building case studies for strong stories. Such tools are available for civil society to use and apply. Plenty of other tools are made available by different groups, such as Business Principles for Countering Bribery, Budget Monitoring or Community Scorecards. They promote civil society's endeavor to strengthen integrity in the water sector and defend the public good.

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NOTES

Research for Action

– Selecting issues, risk mapping and analysis

3

Because of the sensitive nature of anti-corruption advocacy, credible research is essential. This module presents a short introduction into corruption risk-mapping for the water sector. Risk-mapping is a systematic approach to identify corruption opportunities in decision-making processes and requires in-depth knowledge of the sector and feedback from experts to end-users.

For those individuals and organizations who are just starting with getting engaged with water integrity issues, this module has included a simple brainstorming exercise for a preliminary identification of corruption risks and remedies. At the end of this module, the user should be able to:

» **Understand the complexity of the water sector, and then systematically select and prioritize issues to take on for advocacy.**
» **Be knowledgeable about the possibilities for identifying corruption risks and highlighting ('red-flagging') spots where corruption may occur.**
» **Understand the typology of corrupt interactions in the water sector based on the diagnostic framework used for highlighting problem areas.**

INTRODUCTION

WIN and its coalitions are focused on one key goal: building integrity in the water sector by fighting corruption. While having such a clear focus may facilitate the task of selecting an issue for advocacy, there are still many related issues where change is required. Hence, there is a need to prioritize concerns, or to sequence the varied tasks of reform.

Take for example a situation in a city where water theft, illegal connections and overcharging by water vendors have become rampant. It is important to think carefully if and how we want to change such a situation. Rather than go head-on into exposing water thieves or denouncing overcharging vendors, it might be more useful to start advocacy work on building awareness on why water is scarce in the first place. There could be unresolved diversion issues upstream – the real reason why water has become scarce in the city, hence, triggering theft, illegal connections and other problems. Or, the problem could also be underinvestment by government, or perhaps simple lack of technical capacity at the water utility.

The bottom line is that the water sector is complex, and issues of corruption may stem from or flow into other issues. Selecting and prioritizing these issues is a first step to more efficient advocacy work with longer impact. Corruption will not be eliminated overnight, or in the course of a single campaign. It needs to be broken down into its components systematically, and information collected on each methodically.

Everyone developing a project in the water sector, whether large-scale (like a hydropower scheme traversing watersheds), or smaller ones (like a water and sanitation provision in a part of a slum), should ask four fundamental questions:

1 **Are anti-corruption policies and actions built in from the very start?** Cleaning up afterwards is difficult and expensive.
2 **Is the local water context taken into account in planning?** One size never fits all in fighting corruption, and understanding local conditions is a prerequisite for devising effective reforms.
3 **Are the needs of the poor being met?** Fighting corruption is not at all at odds with the needs of the poor.
4 **Is corruption being tackled both from above (politicians and high-ranking officials), from below (community, employees, the general public) and from the side (external efforts from other parties such as the media, other NGOs, etc.)?** Leadership from the top is necessary to create political will and drive institutional reform, but bottom-up approaches are equally needed to add checks and balances on those in power.

Collecting water, Angola.
Image courtesy of WEDC. © Wayne Conradie.

Apart from these initial important but generic questions, some questions need to be answered at the sectoral level. In order to answer these and related questions in a more detailed and systematic manner, one may apply a Corruption Risk Map. This tool helps to identify, assess and highlight corruption risks and opportunities in a given sector or area.

Corruption risk-mapping in the water sector

Risk-mapping helps to identify corruption risks and opportunities in a given sector and country. The methodology varies for each specific situation, but the basic idea is to systematically identify, evaluate, compare and prioritize particular corruption risks and opportunities among a set of actors, activities or within an organization. More specifically, the objectives of the risk mapping exercise is to determine which corruption risks have the greatest impact on the sector, to rank the likelihood of the risk, to identify priority risks for which to design remedial strategies or systemic reforms. The tool also helps to document an evidence base from field research to back up advocacy campaigns and identify possible remedies that respond to operational needs.

Risk-mapping, because it requires in-depth knowledge of the sector and feedback from experts to end-users, may be a task more suitable to academic institutions or nongovernment organizations. But this does not mean that anti-corruption activists could not do it, and it is critical that they know how it is done and recognize the value of the information it provides.

**BOX 3.2: BRAINSTORMING EXERCISE
(TABLE 4: CONTINUED)**

Before deciding whether you would like to start a more comprehensive risk-mapping exercise, you may want to engage in a smaller brainstorm session to come up with initial material for a systematic assessment of the potentials for corruption. It can be a first step for undertaking a risk-mapping exercise which may require archival research, targeted follow-up interviews, participant observation, and so on. Brainstorming is a widely-used tool to stimulate creative thinking to generate ideas or find solutions to a problem. This brainstorming session allows you to generate an overall policy response to rampant symptoms of corruption in the water sector (Sample 1), and is meant to identify more specific fraud and misconduct schemes and scenarios to watch out for (Sample 2). Adapt or modify the sessions to suit your particular needs.

BOX 3.1 CORRUPTION RISK MAPPING

Stages 1 Develop a diagnostic framework based on the typical processes and interactions involved in providing a particular service and the potential corruption risk in each step of this process.

Stages 2 The diagnostic framework can then be applied to a particular programme or service context.

Stages 3 Once the risks have been identified, they should be ranked. Now red flags can be identified as warning signs according to the likelihood and significance of the corruption risk.

STAGE 1: DIAGNOSTIC FRAMEWORK

To initiate a risk mapping exercise, it is helpful to start with a framework that is based on the typical processes or interactions involved in providing a particular service. An example for such a framework is the Value Chain Framework provided in the GCR 2008 and shown in Table 5.[7] For each process or interaction, the potential corruption risks are listed. This is done in the example below:

» Between public officials and other public officials. This includes corrupt practices in resource allocation – such as diverting funds for a water supply network to pay for upgrading a road near a politician's house. It can also involve using bribes to determine the outcome of personnel management decisions – such as payments to individuals for transfers and appointments to lucrative positions. The larger the potential salary, the higher the bribe to get the post.[8]

» Between public officials and private actors. It includes froms of bribery and fraud that occur in relation to licensing, procurement and construction. Collusion or bid-rigging is typical of tendering processes in developed and developing countries and involves both international and national actors.

» Between public officials and users/citizens/consumers. These practices, known as administrative or petty corruption[9], enable poor and non-poor households, farmers and other users to get water, get it more quickly or get it more cheaply.

STAGE 2: MAPPING AND RANKING CORRUPTION RISKS AND OPPORTUNITIES

The diagnostic framework should then be applied to a particular program or service context to identify which risks seem to occur in the various processes and interactions in this particular case.

Table 6 shows a template of a risk mapping exercises focused on the provision of household water supply. As a template, it can be modified and adapted for other sectors and the local context. But it is important to keep consistent the four step-by-step process enumerated points in the first column.

The mapping exercise can be done through surveys of users, providers and other key stakeholders, to gather their perceptions of the risks, or through budget and expenditure tracking and analysis to detect where unexplained leakages occur.

Once the risks have been identified, they should be ranked according to likelihood, significance and impact (see Table 6:2, and Figure 1: Risk Quadrant). It is relatively easy to rate the likelihood of particular risks, but more difficult to assess their significance. The criteria for assessing 'significance' should be clearly specified: What is the amount of resources involved? What is the effect on organizational reputation and credibility? What is the impact on the general public? What is the effect on the poor? What are the legal implications?, etc.

One should also consider that individual corruption practices may seem to have a small impact, but if they occur very frequently (high likelihood), their combined significance may be high.

Fishes in a river in Shengiu County, China, are covered with blisters. © Stephen Voss

STAGE 3: RED FLAGS

The term red flags is used to identify danger signs to watch out for. They alert decision-makers, investigators or the public to the possibility of corrupt practices – suspicious patterns, behaviors, or documentation, which suggests that procedures have not been correctly followed and require further investigation. Once the risks have been identified and ranked (Stage 2), then relevant red flags can be suggested for each risk area to help detect actual corruption. Red flags should always be linked to previous cases of similar types of corruption in order to improve their value and usefulness (Table 6:3).

For example, there could be a risk of collusion among dinners in a procurement process (the actual corrupt practice); a red flag would be repeated patterns of contract awards among the same group of contractors.

One tool that can be used for Stage 3 to quantify and classify all the red flags spotted is the risk quadrant (see Figure 1). This is a simple graph that plots significance and likelihood together. Each red flag can be plotted according to significance (how high an impact it will make if it takes place) and likelihood (is it more or less likely to happen?). Some corrupt acts will have a more adverse impact; some are more likely to happen than others. As such, a red flag that makes a huge impact and is most likely to happen can be located in quadrant 4. On the opposite end is a red flag that makes little impact and is less likely to happen. Definitely, a great deal of subjective judgment will be involved, but what the quadrant can do is provide a more systematic rating of risks.

CONCLUSION

As can be seen, a risk map is not a map in the conventional sense, but a tool which will help you pinpoint those process or locations where corruption occurs, and thus provide a guide into what can be done and what more needs to be known. It is a type of systematic approach that helps evaluate or compare risks among a set of actors or activities within an organization and can thus assist in identifying priority areas for reform. In the short term, it can highlight the need for changes in operations. It provides evidence to back up advocacy campaigns, but it also provides the groundwork for identifying potential remedies, developing a reform strategy and turning it into an action plan.

Selecting issues, risk mapping and diagnostics are action research activities. While it can be regarded as tedious or too cumbersome to carry out, shortcuts can sometimes compromise the quality of campaigns. These research activities should be seen as medium- to long-term investments that build stable foundations for advocacy work. It is part of strategic planning to agree, right at the beginning, on the effort and resources to be devoted to research activities. The amount of work, time and expertise demanded by these research activities is also one underlying reason why WIN emphasizes the importance of coalition-building, so that resources and knowledge can be pooled together, and more people and organizations can be involved for a collective research effort. When implanted through a coalition set-up, these research activities become more valuable and will not become wasted effort.

Sources:
- Effective Meetings, http://www.effectivemeetings.com
- *Fighting Fraud with the Red Flags Rule*, 2009, Federal Trade Commission, http://www.ftc.gov/bcp/edu/pubs/business/idtheft/bus23.pdf
- KPMG International, 2006, 'Fraud Risk Management: Developing a Strategy for Prevention, Detection and Response', http://www.kpmg.com/aci/docs/fraud_risk/Fraud_Risk_Web11_01_06.pdf

TABLE 4: BRAINSTORMING EXERCISE – WHAT ARE THE ISSUES?

Basic steps to take	Sample 1: 'Sorting out the Mess' brainstorm session	Sample 2: 'Think like a thief' brainstorm session
Schedule the brainstorming session. Prepare participants – who can be divided into groups such as insiders, campaigners, former officials, consumers, victims, etc. – to focus on the issue by explaining the problem to be discussed. A specific, well-formulated question can facilitate a better flow of ideas.	The problem to resolve is: Water theft and illegal connections have become rampant, and no one is motivated to do anything about it. The question to ask then is: Where do we start in dealing with this problem? (Write question in the room for everyone to see).	A big donor organization has approved a multimillion dollar water system construction project, and a tender has now been announced. The key question: Who will be the thief, when and how will he strike? Participants should be encouraged to focus on this question and provide details, rather than general answers.
Invite people with different background, expertise, and experience to the brainstorm. Ensure that everyone feels free to talk openly (i.e. the presence of a boss or a politician may force employees to clam up). Trust is important among participants: ensure they feel free and safe to divulge information, that this will be utilized in an anonymous manner to protect their identify, job security and personal safety.	Prospective and active members of the water integrity coalition are invited. Individuals, who are known to have insights on the problem, are invited. Their insights could be about how the corruption occurs, or how rampant illegal connections affect the general population, particularly the poor.	To ensure that participants are familiar with the project and tender procedures, provide briefing papers, relevant project documents, or invite a resource person to speak at the start of the brainstorming.
Clarify the ground rules.	» Criticism of any idea is not allowed. » All ideas, no matter how 'wild', are encouraged. » The more ideas, the better » Participants can try to combine or build on the ideas of others.	Same ground rules to be followed as in Sample 1. However, take care not to use actual names, only role description (e.g. instead of Mr. so-and-so, say "project contractor A", or "tender committee member X"). Even a brainstorming exercise, especially if results are written, could be charged with libel or slander. This also helps to identify forms of corruption, rather than sensationalize individual cases.
The brainstorm should last no more than 30-40 minutes.	To help focus, whenever a participant provides an answer (e.g. "we should start with those overcharging water vendors because that is the most deeply-felt problem), the group leader could ask follow- up questions (e.g. "but what causes them to overcharge?") If participants are not satisfied with the ideas presented, it is best to adjourn the meeting and schedule a subsequent brainstorming session.	To help participants focus, the potential areas for corruption are put on the wall to be seen by everyone. For example: » Wrongful inclusion or exclusion of companies in the tender process » Tendering companies linked to persons involved in the award of contracts » Collusion by bidding companies to artificially inflate or deflate prices » Deliberate supply of sub-standard materials or equipment » Deliberate over-claiming of quantities » Failure of check-and-balance system in approvals (of payment, releases, etc.)

Brainstorming session. © Water Integrity network

TABLE 4: BRAINSTORMING EXERCISE – WHAT ARE THE ISSUES? *Continued*

Basic steps to take	Sample 1: 'Sorting out the Mess' brainstorm session	Sample 2: 'Think like a thief' brainstorm session
Emphasize that it is important to refrain from statements that kill the flow of ideas ('killer phrases').	Common 'killer phrases' to watch out for: » "We don't have the capacity to deal with that" » "It will never work." » "The government will be against it." » "It is not our responsibility" » "We tried that before" » "Great idea, but it's not for us" » "No."	Remind participants that the session is not yet about catching the thief, or preventing him from striking. Stick to the question – identify the thief and how he will strike. Solutions can be discussed at a later session. Watch out for "killer phrases", such as: » "No, that won't happen." » "That is not an issue to be concerned about."
Smaller teams remove some of the formality and make people feel more at ease. Break into smaller groups if there are many participants.	The key is to ensure that each participant is comfortable to think, brainstorm and say something.	It might be useful to remind participants that while the exercise is about a hypothetical situation, a thief or thieves may actually be already plotting their moves.
Be sure to capture all the group's ideas.	A whiteboard, clipboard paper, or notebooks may be used.	Some ideas may need further development – if so, be sure to get back to it later in the brainstorm.
If the flow of ideas begins to die down, the leader should step in.	» Re-read some ideas on the whiteboard – it may spark additional ideas. » Ask a participant to select one idea and provide reasons why s/he likes it. This can trigger more conversations. » The session leader should keep an idea or two that he can introduce if the flow of discussion dies down.	Aside from the tips in Sample 1, the group leaders could ask the following questions to stimulate further discussion: » How serious is the potential for thief X to strike? » How strong are the defenses against thief x? » Why do traditional defenses (i.e. normative guidelines and state, institutional and participatory control mechanisms) fail to prevent it or sanction after it occurs?
End the session, prepare the report.	Edit the notes, arrange the ideas in related groups, ask each participant to select 5 ideas that s/he thinks are best. Request why they think those five ideas are most promising, and how s/he thinks it could be implemented.	If the session went well, schedule a follow-up session to discussion solutions.

Sources:
- Amnesty International, *Campaigning Manual*, 1997, www.amnesty.org/en/library/info/act10/002/1997
- Effective Meetings, http://www.effectivemeetings.com

TABLE 5: DIAGNOSTIC FRAMEWORK USING THE VALUE CHAIN FRAMEWORK OF CORRUPT INTERACTIONS IN THE WATER SECTOR

	Public-public	Public-private	Public-consumers/civil society
In policy-making and regulation, is there…	» policy and regulatory capture over management of water resources, competition and monopolies? » inter-ministerial collusion: cover-up over environmental/ social impacts of hydropower projects?	» policy capture over Water Resources Management decision-making? » bribery for water rights, extortion for permits and processing of permits? » regulatory capture (e.g. waivers to licenses, bypassing Environmental Impact Assessments, overlooking social impacts)? » kickbacks to cover up pollution?	» bribery to silence public protest over environmental and social impacts?
In planning and budgeting, is there…	» distortionary decision-making by politicians (location/type of investments)? » diversion of funds to individuals, other projects or inter-ministerial bribery for fund allocation? » corruption in local budget management (fraud, falsification of accounts/documents, village-level collusion)?	» bribery to influence allocation of funding to higher-capital-investment projects (e.g. bulk water supply vs. improving networks or low-cost efficiency solutions)?	
In donor financing, funding and fiscal transfers, is there…	» donor-government collusion in negotiations to meet spending targets, progress and quality, to influence type of sector investment? » bribery, rent-seeking and kickbacks to ensure fund transfers between Ministry of Finance and sector ministries?	» donor and national private operator collusion (outside legal trade agreements)?	
In management and program design, is there…	» corruption in personnel management (e.g. payments for lucrative positions; bribes for promotions, transfers, salary perks)? » distortionary decision-making (collusion with leaders in selection/ approval of plans, schemes)? » corruption in local government and departmental planning and budget management? » Bribery to distort water management and canal construction to benefit officials?	» bribery to shift design to increase potential for kickback and fraud?	» influencing of project decision-making to benefit some users (project-level site selection, equipment, construction)? » bribery to distort water management, canal construction and sequencing to benefit rich or powerful users?

Group discussion. © Water Integrity network

TABLE 5: DIAGNOSTIC FRAMEWORK USING THE VALUE CHAIN FRAMEWORK OF CORRUPT INTERACTIONS IN THE WATER SECTOR *Continued*

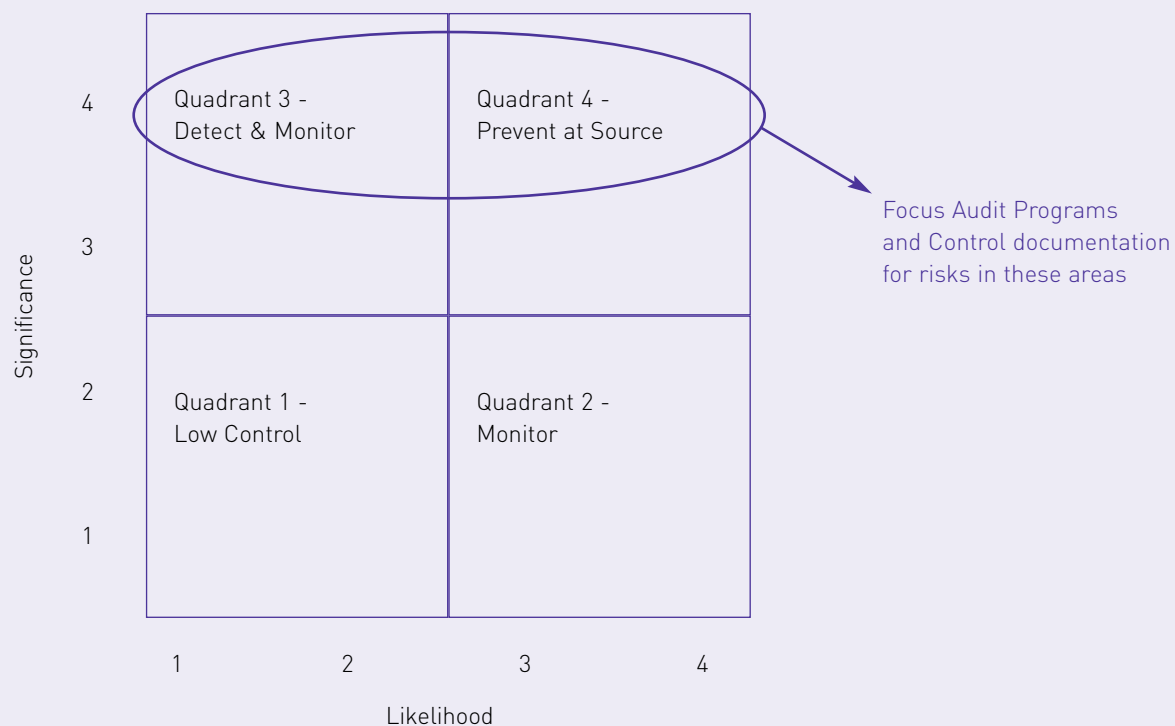|	Public-public	Public-private	Public-consumers/ civil society
In tendering and procurement, is there...	» administrative corruption (fraud, falsification of documents, silence payments)? » inter-department/agency collusion over corrupt procurement, fraudulent construction? » cover-up and silence payments linked to corrupt procurement? » kickbacks in cash or jobs to help politicians secure preferred contractor?	» bribery/kickbacks to influence contract/ bid organization? » kickbacks to win large-scale projects: to secure contract, to influence negotiations, for information? » corruption in supply procurement/ inflated estimates for capital works, supply of chemicals, vehicles, equipment? » corruption in delegating O&M: awarding contracts, overestimating assets, selection, type, duration of concessions, exclusivity, tariff/ subsidy decisions? » fraudulent documentation, uncertified materials in construction?	
In construction, is there...	» cover-up and silence payments linked to corrupt construction?	» bribery and fraud in construction – not building to specification, concealing substandard work, unspecified materials, underpayment of workers, failure to complete works, delays? » fraudulent invoicing – marked-up pricing, over-billing by suppliers?	» corruption in community-based construction (with similar types of practices as for public-private interactions)?
In operation and maintenance, is there...		» over-billing by suppliers, theft/diversion of inputs (chemicals)? » avoidance of compliance with regulations, specifications, health and safety rules? » falsification of accounts? » bribery for diversion of water for commercial irrigation or industry? » bribery to cover up wastewater discharge and pollution?	» administrative corruption for water (access to water-installing/ concealing illegal connections, avoiding disconnection, illicit supply, using utility vehicles)? » administrative corruption for speed (or preferential treatments) – irrigation canal repairs, new connections?
In the payment (for services), is there...		» bribery for excessive extraction by industry? » bribery, collusion in falsified billing in commercial irrigation and industry?	» administrative corruption in repayment/billing water supply and sanitation and irrigation water » fraudulent meter reading, avoidance or partial payment, overcharging?

TABLE 6: MAPPING THE RISKS OF CORRUPTION IN PROVIDING HOUSEHOLD WATER SUPPLY

Steps to take for risk mapping	Sample 1 – spotting corruption risks in the budget allocation process	Sample 2 – spotting corruption risks in the procurement process	Sample 3 – spotting corruption risks at the end-user level
1. Identify the general location or processes where corruption risks may occur	Because of the prevalence of large-scale construction and various types of monopolies, a technical complexity that limits the public's ability to participate in oversight activities, the involvement of different institutions (regulator, central government, utility, local organizations, etc.), overlapping jurisdictions, and so on – the budget allocation process where financing for the WSS sector is agreed is a site or process where corruption might occur.	A next process or location could be the procurement process – when resources move from one level of use to another, or from central to state or provincial level. In particular, corruption risks may be found in how resources are used to buy infrastructure components or engineering services.	Corruption risks can also be found at the end user level. For example, in a poor community where the water supply is delivered through public taps, there can be many unresolved corruption and related issues.
2. Rate risks based on the likelihood and significance of occurrence (see also Table 3: The Risk Quadrant).	Corruption and resource leakage can be detected through: distorted site selection for service, boreholes, or abstraction points; regional or other forms of 'bias' – when more of the budget is spent arbitrarily on particular areas; selection of projects because of opportunities for financial kickbacks or political patronage; or chronic lack of staffing in rural areas, with side payments for transfers of staff to preferred urban areas. Rate risks based on likelihood and significance (see further discussion on the risk quadrant below).	Resource leakage and mismanagement issues may include: purchasing officials might be bribed to tailor the specifications or timing of a project to suit favored suppliers, consultants, contractors; overdesigned and hence overpriced projects increase opportunities for corruption; embezzlement; high administrative charges at each level that reduces the overall level of resources available. Rate risks based on likelihood and significance.	Key risks to watch out for: bribes paid for new connections; poor quality construction; locating water sources (such as public taps) near the residences of public officials; preferential treatment for services and repairs; illegal connections; falsified meter readings; deficient billing and collection; unspecified charges; and so on. Rate risks based on likelihood and significance.
3. Plant the red flags firmly, citing clear evidence of risk or actual occurrences of corruption.	Using various tools such as – a desk study of the national level allocation of resources; a description of the process for the selection and approval of water projects; a table with an inventory of products (cement, pipes) and services (borehole drilling, pipe-laying) and their prevailing market prices; an examination of who benefits from subsidies; or an analysis of oversight mechanisms – plant the red flags or warning signs firmly on points in the resource flow or supply chain where corruption may occur. Here, the results of the brainstorm "think like a thief" may be useful.	Tools to use to spot red flags include: interviews with water supply officials at various levels; validating information at community meetings to encourage participation; reading through audit reports; reviewing province-level budget data sheets. As with sample 1, there are data collection problems to be encountered, such as: data may be aggregated and not broken down to community level for more meaningful review; the problem of substandard materials is difficult to address; comprehensive budget tracking is difficult to obtain.	Citizen Report Cards that ask end users what they think on payment procedures, accountability structures, access to information, community participation in planning and monitoring water supply is the most important tool for spotting red flags. Service providers can also be asked to respond to a questionnaire that can detail the problems encountered. Finally, a community-level budget data sheet to show quantities and sources of water, delays and expenditures to improve the system is also very useful.
4. Minimize risk, prevent or mitigate actual occurrences of corruption through advocacy and coalition work.	Step 4 is covered in the following modules in this Advocacy Guidebook, along with the Introduction to Coalition Building		

Group discussion. © Water Integrity network

FIGURE 1: THE RISK-QUADRANT

Focus Audit Programs
and Control documentation
for risks in these areas

Source:
- http://hosteddocs.toolbox.com/xyz_companys_antifraud_program_overview.ppt

NOTES

Coalition-Building

– Relationship-building with allies and partners

4

The Water Integrity Network (WIN) was formed to support anti-corruption activities in the water sector worldwide by forging coalitions that can take action in ways individuals or single organisations cannot. If corruption in the water sector is to be successfully contained, it requires the establishment and sustained functioning of local, national and international cross-sector coalitions made up of all stakeholders. WIN itself is a primary example of varied stakeholders coming together to increase integrity in the water sector.

In this module we will examine what exactly coalition-building is and how coalitions are established. We will look at reasons why coalitions need to be formed – in particular, why WIN has adopted this as its strategy for action. Examples of past coalition-building initiatives in the water sector will be cited to highlight important lessons. We will review the conditions or environments in which coalitions form, and suggest some key steps that can be used as a guide for establishing and sustaining inclusive, cross-sector and multi-stakeholder coalitions for water integrity at various levels.

WATER COALITIONS

Coalition-building is common in the water sector. Coalitions, platforms or multi-stakeholder forums are widespread, keeping the sector busy year-round with various activities and making it awash with the acronyms of various initiatives.

The World Water Council is 'an international multistakeholder platform for a water secure world, organized in 1996 in response to increasing concerns about global water issues'. Every three years it organises the World Water Forum, which is considered the largest international event in the field of water. Two similar groups have a more specific focus. The Global Water Partnership, also organised in 1996, is 'a network open to all organizations involved in water resources management'. The Water Supply and Sanitation Collaborative Council 'is a global multi-stakeholder partnership organisation that works to improve the lives of poor people'. WWC, GWP and WSSCC are examples of coalitions with clear organisational structures and governing bodies, a functional secretariat and relatively stable funding. WIN can be considered an example of this type of coalition.

Other types of coalitions have been built around or driven by processes. For example, in 1998 the World Commission on Dams was organised as 'an independent, international, multi-stakeholder process which addressed the controversial issues associated with large dams'. In 2001 a multi-stakeholder, international working group that included water companies, donor organisations, trade unions and NGOs was set up to review private sector participation in water supply and sanitation. After publishing its report 'Global Water Scoping Process', the Water Dialogues started 'a series of national multistakeholder dialogues' that examined the best policy to deliver water, particularly to the poor. Certain mechanisms have also been set up solely to facilitate coalition-building or at least enhance the dialogue among various groups. For example, Building Partnerships for Development in the Water Sector was established to promote the delivery of basic services to the poor in developing countries 'through enhancing institutional relationships between the public, private and civil society sectors'.[10]

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10 The Water Supply and Sanitation Collaborative Council (www.wsscc.org) and Building Partnerships for Development in the Water Sector (www.bpdws.org) are two additional sources of documents on experiences and analyses of coalition-building in the water sector.

Dam in Kazakhstan. © Kai Wegerich

There is also alliance-building, which results from initiatives that are more loosely organised or driven by social movements. The Global Water Network says it is linked to a global environmental movement of over 17,000 organisations in 174 countries. The Blue Planet Project, well-known for its activist base, is 'a global initiative working with partners around the world to achieve the goal of water justice now'. The Freshwater Action Network is a 'major network of civil society organizations implementing and influencing water and sanitation policy and practice'. The Gender and Water Alliance is a global network dedicated to mainstream gender issues and campaigning for equitable access to and control over water. At the regional and country levels, even more coalitions and alliances exist – African Water Networks, American Clean Water Coalitions, Asia-Pacific Water Forum and so on.

One begins to wonder why so many coalitions have proliferated in the water sector, often with overlapping membership bases? Why were they formed in the first place? And what exactly are coalitions? Is coalition-building a useful and valuable activity, or does it merely make the work of making water available more complicated by adding further layers of contention?

WHAT ARE COALITIONS?

Broadly, the term coalition refers to the voluntary collaboration of separate players, who work independently and who may sometimes differ radically from each other, towards achieving a common purpose. Here, collaboration is defined as cooperation that enhances each other's capacity. Individuals and institutions often create barriers between each other. As such, collaboration or the enhancement of each other's capacity in a coalition can make an enormous difference.[11] Given this broad definition, a coalition may refer to many different groups – ranging from electoral to parliamentary coalitions, from multiple- to single-issue coalitions, from international to local community coalitions, and from short-term to more strategic coalitions. The study of coalitions is by no means standardised, hence the many different and cross-cutting typologies.

It is important to make a distinction between a coalition and an alliance, and between coalition-building and alliance-building – especially because the two sets of concepts are used interchangeably given the fine line separating them. Both alliances and coalitions are collaborations of different players. But technically speaking, an alliance is a collaboration of those who already share more or less similar views. That is why they are 'allies' in the first place,

and are hence forming an 'alliance'. They are, relatively speaking, more homogenous, uniform or consistent. An alliance can be regarded as an association of the converted.

A coalition, on the other hand, is a voluntary collaboration of separate players, who work independently and who may differ radically from or even be antagonistic towards each other. Members of a coalition are not necessarily allies. They can be 'strange bedfellows' brought together by an accident of having a similar desire to achieve a common purpose they cannot achieve individually. In the water sector, a most poignant image of how coalition-building can bring together radically different and even antagonistic interests was the scene at the Cape Town airport where members of the World Commission on Dams arrived for their first meeting in 2000. One member, a grassroots community activist, had to be assisted carefully from the plane because she was too weak to walk, after having been on hunger strike for days to protest the construction of the Narmada Dam in India. Another member, the chief executive of the world's largest engineering company, which has built many dams, arrived in his own private jet. Though worlds apart, these two members of the Commission worked together (in their personal capacities) and attempted to hammer out how conflicts over the world's dam construction can be resolved.

What differentiates a coalition is the diversity and differences of its members. Both alliance- and coalition-building are important in advocacy but should not be confused with each other. Managing and sustaining relationships with allies is typically different from doing so with coalition partners. Transparency International chapters, for example, can be regarded as core anti-corruption activists in various countries. To be more effective, many of these chapters have reached out to sectors and organisations that may not necessarily be keen on anti-corruption activities, or whose mandates do not include pursuing anti-corruption campaigns. On the other hand, many national organisations involved in water service delivery, in order to be more effective, have also reached out to other sectors and organisations that do not directly work with anti-corruption issues but nevertheless recognise the importance of more efficient water governance. The coming together of anti-corruption activists and water governance campaigners resulted in a coalition – now called the Water Integrity Network.

WIN and the coalitions it is aiming to build can also be called a social change or advocacy coalition. These can be characterised as 'organisation of organisations' whose members commit not only to contain corruption in the water sector, but also to share in decision-making to influence key institutions or policy. Advocacy coalitions

11 T. Wolff, 'The Future of Community Coalition Building.' American Journal of Community Pyschology, Vol. 29, Issue 2, 2001.

campaign to translate what they believe in into public policy. Members of these coalitions maintain their own autonomy but agree to more systematic joint planning or even joint or coordinated implementation of initiatives. By their very nature, coalitions may be time-limited but not necessarily synonymous with short term or ad hoc. It has built-in dynamic tensions and can be operated as a conflict management mechanism (Developed from Mizrahi and Rosenthal, 2001).

INHERENT TENSIONS CAN MAKE OR UNMAKE A COALITION

A coalition, therefore, is not a coming together of similarly oriented groups, an alliance of the already converted, nor a combination of those already united by some common purpose. There is difference and diversity and therefore multiple sources of tension among members of a coalition, tensions that may always threaten to unravel it. Biases and suspicion may define how coalition partners operate or behave towards each other, and which may also lead to sharp conflicts or breed low-level but unsettled tensions. These sources of tensions exist because the separate groups, apart from maintaining or jealously guarding their own autonomy, typically differ from each other in terms of:

» Organisational origin – Some may have been initiated by governments, others by civil society. Some may represent workers, such unions; others represent employers or business owners. Some may be religious while others are secular. Some may be based in academia, others in local communities. Some can be old, established interest groups (e.g. property owners), while others represent new and emergent constituencies (e.g. migrants).

» Nature of organisation – Some may be charities or non-profits, while others are business associations or for-profits. Some may be service-oriented, while others are advocacy, research or training groups.

» Organisational level – Some may be associations of individuals; others are associations of like-minded or similar groups (e.g. a federation of consumers' associations). Some may have operations with a national or international scope, while others are formed along indigenous or tribal lines.

» Perspectives – Operational frameworks of the various groups may be defined by ideology, philosophy, religion or culture.[12]

WHY BUILD COALITIONS?

Coalition-building has been described as an approach to address complex community and social issues – such as corruption, in WIN's case. While it may be time-limited (i.e. the coalition's life typically ends when goals are achieved), coalitions can be a base for lasting change. It involves collaborative planning and problem-solving among its members. It can potentially shift the balance of power – in WIN's case, away from the perpetrators of corruption and towards poor, thirsty communities – simply by pooling together resources and knowledge, developing new leaders or amplifying the community's voice. Where resources are scarce, a coalition is always better placed than single organisations to leverage resources. Coalitions can also provide some kind of shield to resist threats – clearly a critical matter for those involved in anti-corruption work. While a coalition can also be a mechanism for building the capacity of its disparate members by accessing technical support, its work can be as straightforward as creating a simple venue for dialogue between its members who want change and the institutions or policy-makers they are targeting.

Perhaps most important of all, coalitions are necessary because they are better positioned, have wider mandates and are better leveraged than single organisations to achieve policy change, mobilize resources and influence public opinion. The corruption problem is not a set of discrete issues that can be resolved on a technical level by single players.

Obviously, there will also be ethical issues involved in coalition-building. For example, answering the question 'who should be included' can be fraught with difficulties. Should an organisation or individual willing to provide a lot of resources but previously linked to a corruption scandal be included in a new coalition against corruption? Should a powerful politician who can influence targets but who as no track record on corruption, and who may just be forum-shopping, be included? Or should an organisation that wants to quickly take to the streets and openly denounces serious, quiet, behind-the-scenes negotiations be considered for the organising committee? Rather than encourage diversity, coalitions can unwittingly sideline single organisations with a very different agenda.

This can be one reason why not all organisations are keen to be involved in coalitions. Perhaps the most well-known international example is Greenpeace, the environmental protest action group. Even in countries that have vibrant environmental coalitions, Greenpeace chooses to keep its distance and autonomy, rather than be a formal member of coalitions. Coalitions have been criticised for 'clipping the

12 M. Coronel-Ferrer, ed., Civil Society Making Civil Society, Philippine Democracy Agenda, Volume 3, Third World Studies Center, CSSP Research Foundation and USAID, 1997.

Water droplets. © Stockexpert

wings' of its more radicalised members. For example, an organisation openly critical of government may find itself limited in saying what it thinks if it join a coalition that includes certain government agencies. Coalitions are often bound by the 'least common denominator', or the single issue upon with which all members are comfortable but not necessarily inspired by. Hence, a coalition's supposed unity is often criticised as superficial. Another criticism is that coalitions tend to be dominated by the better-funded and more powerful organisations, such as those based in national capitals. Smaller groups from rural or outlying areas do not get much from the collaboration inside coalitions. Trade unions, for example, can be overpowered by more consolidated and highly influential business clubs. Community-based organisations made up of volunteers are unable to argue their positions as well as professional, full-time, office-based staff of NGOs. Gender activists are unable to get their voices and analyses through.

The important and most essential point is to be mindful of both the advantages and disadvantages of coalition-building. By and large, coalition-building is a useful tool for advocacy. But there are inherent issues and problems that need to be identified and then addressed, rather than quietly 'swept under the carpet'. Coalitions will proliferate because they are useful and practical, they institutionalise power, and they can achieve change in ways individuals and single organisations cannot. These are reasons why WIN has made coalition-building an overall objective. However, WIN does not want to reinvent the wheel or create 'just another network'. Instead, its approach is to stimulate, encourage and support existing water sector organisations to be engaged in collaborative mechanisms that include water integrity on their agendas.

RECENT DEVELOPMENTS COALITION-BUILDING

Across the world today, civil society, business and government players have shown greater openness to work with as many groups as possible, mainly through joint ventures or at least by crossing paths through some form of dialogue. Why they tend to form coalitions – as well as the quality of 'unity' within coalitions (e.g. artificial vs. long-term, single vs. multiple issue unity) – have become subjects of different studies. These studies pinpoint a number of factors that mitigate the inherent tensions:

» There is growing realisation that differences will remain and need not be totally erased before working relationships can be built. Groups can now 'agree to disagree' and continue working together professionally, despite differences.

» Mutual respect is built as perspectives and philosophies adjust enough to allow for some form of accommodation. For example, mutual suspicion between labour unions and multinational water companies is minimised when more players from both sides realise they actually need the other to continue to exist. Another example is how companies build their stake in keeping the environment healthy and water sources clean, as this would mean a continuation of business. In the same way, community organisations eventually realise their own stake in the jobs provided by business.

» Affirming the importance of autonomy and decentralisation, rather than dependency and control, has led to more players with power (such as governments or international financial institutions) gaining increased confidence to work directly with NGOs, including highly critical campaigning organisations that challenge their power.

» Certain issues around which coalitions are formed create shared values and transcend differences. For example, environmental threats affect everyone. As such, working in common cause to protect the environment is likely to transcend economic or social divisions.

» So-called 'hidden agendas' are becoming more transparent or are otherwise seen differently. One key example is how critics of a multinational water company became more comfortable with working in coalition with the company. This was after the company's management admitted frankly in a public statement that the firm is unlikely to invest in developing countries because of the risks involved, emphasising they are committed to the profitability their shareholders want. This admission paved the way for lingering doubts to be dispelled that the company's eagerness to participate in various water forums and coalition initiatives was driven just by its PR (public relations) work to increase market share.

» More forums that facilitate dialogue and reflection, or allow for paths to cross have emerged. Key examples include the triennial World Water Forum, the Global Water Scoping Process that supported a multi-stakeholder review of private sector participation, and the Water Integrity Network itself.[13]

In short, coalitions do not necessarily remove conflict and contention among its disparate members. It simply allows conflict to be diffused or tensions mitigated, thus allowing for relationships to develop and making the task of working together less complicated to manage.

13 M. Coronel-Ferrer, ed., Civil Society Making Civil Society, Philippine Democracy Agenda, Volume 3, Third World Studies Center, CSSP Research Foundation and USAID, 1997; P. Urquhart and D. Moore, 'Global Water Scoping Process: Is there a case for a multistakeholder review of private sector participation in water and sanitation?'

WHY FORM COALITIONS FOR WATER INTEGRITY?

Corruption is in no one's interest in the long run, yet it is pervasive and ubiquitous. Many campaigns have been organised to stamp it out completely, yet it persists and is re-emerging in still more guises and forms. While 'battles' have been won the 'war' continues, so it has now become clear that no less than concerted and sustained coalition efforts are necessary to contain corruption definitively. On their own, many different groups wage pitched battles against corruption. And they appear to be growing in numbers. But the processes by which the changes they want are adopted and sustained are much less well understood. So what now may be needed is a 'critical juncture' or 'tipping point' where a fundamental turn is finally made, and new, lasting institutions for integrity are founded. The 'flowering' of many community coalitions for water integrity, the establishment of a variety of cross-national networks or venues for dialogue, and implementing different multi-stakeholder initiatives to address various aspects of the problem can be considered as the steps to reach that juncture or tipping point.

To put it in another way, there exists today a 'social movement' against corruption in many different countries. This is proven by such developments as the growing number of anti-corruption initiatives worldwide; anti-corruption crusaders gaining popular support and winning elections; the ratification of national laws and international conventions, such as the 2003 United Nations Convention against Corruption (UNCAC); and by the constantly changing procurement rules of governments and multilateral organisations. But as observed by a leading scholar, 'social movements have an elusive power'. While they may at times exercise a powerful influence on politics and society, this influence is fleeting. Movements have surges and declines, rises and falls, often due to 'changes in political opportunity structure, state strategy and transnational diffusion'.[14] Coalition-building is a way to make the anti-corruption movement's power less elusive and more institutionalised. There are many other, more practical reasons why coalitions need to be formed. To reiterate:

» It increases the social visibility of the problem of corruption and its related issues. Coalitions can coordinate claims and broaden the appeal of single groups that have come together.

» It allows WIN and its members to work with whole communities or constituencies, which is always greater than the sum of its parts. Coalitions offer far more encouragement for civic involvement and provide venues not just for experts and specialists, but also for ordinary people to contribute.

» Coalition-building creates support systems that respond to particular problems. Corruption problems in different countries or different regions vary from each other, or change through time. Hence, local coalitions can be the support system necessary for more workable and achievable local strategies.

» Coalitions at the community level can be incubators for social change. The small victories they win at the community level can be the engine for larger social change in society.[15]

ESSENTIAL STEPS FOR COALITION-BUILDING

At a minimum, before a coalition can be formed and stabilise well enough to allow for some form of meaningful collaboration among members, three key conditions are necessary. First is respect. Prospective coalition members may not yet trust each other, but there should at least be some respect – mutual recognition of each other as positive agents of change – before collaboration can take place. Face-to-face meetings and interaction among various players are almost indispensable as a first step towards creating channels for communication. For example, many repeat participants of the World Water Forum have noted how opposing or competing groups have seemingly grown far less confrontational (though not necessarily less critical) of each other over the years. Dialogues or venues for debate then emerge, which may clarify or refine first impressions. While these processes do not automatically lead to mutual respect, it can nevertheless be characterised as 'confidence-building' steps that set the more appropriate environment.

Once dialogues and communication sets in, it then becomes critical for prospective coalition partners to develop regard for each other's organisational autonomy and independence. This may mean, for example, that stronger or better-funded groups within the coalition will resist the temptation to dominate and thus allow for weaker players to be empowered, or for partnerships to be more clearly defined. One mechanism developed over the years is consensus decision-making instead of majority rule. With consensus decision-making, smaller and less powerful groups are assured of being given sufficient voice and importance in decision-making.

14 S. Tarrow, Power in Movement: Social Movements and Contentious Politics (Cambridge:, Cambridge University Press, 1998).
15 T. Wolff, 'The Future of Community Coalition Building.' *American Journal of Community Pyschology*, Vol. 29, Issue 2, 2001.
16 T. Wolff, 'A Practitioner's Guide to Successful Coalitions'. *American Journal of Community Pyschology*, Vol. 29, Issue 2, 2001.

Irrigation dam. © Luke Daniek/Istock

Finally, stronger coalitions evolve when its members develop a mutual stake in each other's success or setbacks. For example, how NGOs compete with each other can be described as bruising. Yet they can quickly close ranks when one of them is denied entry or expelled from one country. Or, they cheer and celebrate if one among them is able to achieve a policy change breakthrough.

A useful study identifies nine dimensions critical to coalition-building that could spell the difference between success and failure:[16]

» Community readiness. Coalition-building will most likely succeed when the motivation comes from its community or constituency – when they are ready to take on tasks and solve problems by themselves.

» Intentionality. This means the early development of shared objectives and joint planning and problem-solving. An important distinction to make relates to 'community ownership' – between community-based initiatives as opposed to agency-based initiatives (where the intervention comes mainly from professionals or institutions).

» A working structure. No single, set structure has emerged as being most effective. What is necessary is for coalition members to be satisfied with the decision-making process (e.g. consensus vs. majority rule), and for communications – the lifeblood of any organisation – to be sufficient.

» Gaining small victories. Achieving small victories is essential for sustaining coalitions. These gains motivate members to participate again and again in planning sessions, fundraising and action. They see the coalition as the means to accomplish changes they cannot achieve alone.

» Membership building. Inclusivity and diversity strengthen the coalition. Sustaining members to be active is said to be based on six R's: recognition, role, respect, reward, results, relationships.

» Leadership. Coalitions that succeed are those with a 'wide bench' of skill, talent and leadership to rely on, not a single charismatic individual. As Wolff emphasizes, 'collaborative leaders share power rather than impose hierarchy; they take a holistic look at the organisation and the community rather than fragment or departmentalize; they focus on facilitation and process versus decision making. They are flexible rather than controlling, decentralised rather than centralised, inclusive rather than exclusive, proactive rather than reactive, and they focus on process and product rather than product only. At the core, collaborative leaders need to be risk takers.'

» Funding. It should be emphasised first and foremost that funding does not guarantee the success or failure of a coalition. Many coalitions have been successful with virtually no funding. The main concern is when funding begins to drive the coalition's agenda. Also, coalitions must always balance their own integrity with the needs of funders when seeking to raise money. Finally, coalitions must be clear on what they really need in order to achieve their mission.

» Relationships. Because coalitions are diverse, sources of tension can lead to sharp conflicts or breed low-level tensions. The existence of collaboration in a coalition does not necessarily eliminate conflict. Oftentimes, social interaction among members makes relationships to be easier to manage.

» Technical Assistance. Coalition-building is a highly complex community intervention that often entails too many tasks with too few resources. This creates a compelling need for technical assistance, consultations, trainings and other similar activities. Sample goals, objectives, job descriptions and budgets from other coalitions can be extremely helpful to a new leadership team. More targeted technical assistance may be provided through facilitating coalition retreats, helping coordinate multiple coalitions in a single community, assisting coalitions in designing strategies to engage the grassroots, mediating conflicts or dealing with coalition start-up or sustainability.

WIN AND COALITION-BUILDING

Coalition-building is at the heart of the Water Integrity Network. WIN describes itself as 'an action-oriented coalition of individuals and organisations that support the cause of increasing water integrity by enhancing transparency and preventing or reducing corruption in the water sector'. Its remit covers: integrated water resource management, drinking water supply and sanitation, water for food, and water for energy. WIN has two overall objectives: to promote pro-poor water integrity practice to prevent and/or reduce corruption in the water sector; and to build coalitions at local, regional and global levels to jointly improve water integrity. It builds itself up on the strength of two constituencies – the anti-corruption civil society represented by Transparency International (which has a network in more than 100 countries), and water sector professionals and organisations. WIN's ambition is to facilitate by 2015 the establishment of active institutional/individual membership coalitions in 35 countries. As such, it is important for WIN members to have some food for thought as they embark on the task of coalition-building.

In facilitating the establishment of coalitions, an important first step is outreach – to be in contact or to engage with a diverse group of actors and stakeholders. For this purpose, WIN has created a model that can guide its outreach. The model points out three 'zones' of influence WIN works within. First is the 'zone of control', which is basically the direct actions of the WIN international secretariat in collaboration with members. Second is the 'zone of influence', where WIN can directly help to orient the course of action by helping its members and strategic partners to take action. Third and widest is the 'zone of interest', where WIN can make an impact when its activities, methodologies and tools are taken up by others.

CONCLUSION

Overall, it is useful to look towards a set of factors or conditions that enhance the environment for coalition-building. Prospective coalition members should have some respect for each other, or at least recognise that while each other is different they are all positive agents of change. Dialogues are examples of confidence-building measures that build understanding and respect for each other. Coalition partners need to have regard for each other's organisational independence and autonomy. Weaker partners should be assured they have a voice, or that their ranks will not be raided and they will be 'swallowed up' if they join the coalition. Stronger partners should be transparent in their agenda for joining the coalition. Over time, coalition partners should strive to have a stake in each other's success or setbacks.

To summarize, WIN has taken a clear approach to achieve its goal of water integrity: an inclusive, multi-stakeholder approach built through coalition-building. WIN believes success can be achieved by persuading a maximum number of people – including politicians, executives in the public and private sector, and ordinary people – that it is necessary and possible to do something to make the water sector more effective and efficient to deliver critical social and economic benefits. Achieving integrity in the water sector matters.

BOX 4.1: GROUP DISCUSSION EXERCISE

On the next page is a table comparing some advantages and disadvantages of coalition-building, and the challenges WIN members may need to address in order to successfully initiate and maintain useful, valuable, working coalitions for water integrity. This table serves as a template. You can use it to start your own discussion of advantages, disadvantages and challenges, and then proceed to enumerate as many as you can. The goal of the group discussion is, given certain advantages of coalition-building (first column), proceed to identify what the disadvantages are (second column). The next step is to define or understand the challenge (third column) – what should be done to deal with the disadvantage identified.

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Panel discussion. © Water Integrity network

TABLE 7: COALITION-BUILDING CHALLENGES

Advantages	Disadvantages	Challenge
Coalitions facilitate collaboration – cooperation that enhances each other's capacity. It provides opportunities to share expertise, knowledge, fund-raising techniques, lessons learned, etc.	Coalitions entail high 'transaction costs'. A lot of energy and resources are spent on negotiations, managing disputes, mitigating mutual suspicions.	Investments of time and resources are necessary in coalition-building. Part of the coalition-building challenge is to be able to agree on clear decision-making processes and conflict-resolving mechanisms that will make it more efficient, instead of being continually bogged down by low-level, simmering disputes.
Coalitions build unity of diverse groups around particular issues or advocacy.	More powerful, experienced and resourced organisations may think they will spend more resources and time but get little out of joining a coalition. Smaller groups may complain the bigger groups tend to dominate and influence the agenda. Groups join coalitions for self-interest or opportunistic reasons.	It is important to have agreement on written statements of vision and purpose, objectives and aims – a means of keeping everyone working towards the common goal. But also think of incentives to provide to the 'big players' as well as 'small players'.
Coalitions not only can pool resources together, but they are in a better position to gain access to more funding.	Financial transparency is often the most difficult goal to achieve in a coalition. Conflicts over funding have broken up many coalitions.	Potential donors need to engage transparently. They should be mindful of their roles and support the coalition's initiative even if they are not formally a part of it.
Coalitions can enhance the complementing of roles among different groups.	Coalitions can enhance the competition among different groups with similar objectives.	Where competition among different groups exists, coalitions can make it 'healthy'. For example the best group that is most innovative and efficient is congratulated rather than backstabbed, and becomes an example driving others to be equally innovative and efficient. Where competition is less, complementary relationships can be built and strengthened.
Coalitions emerge because of the need to respond to particular issues.	Coalitions are self-perpetuating. They justify their continued existence, even when the issues they were created for are already resolved.	Having indicators of success or failure to monitor and evaluate is essential in a coalition. Written statements on a coalition's vision, goals and objectives can state explicitly when they should stop, disband or transform into something else.
Coalitions facilitate unity in diversity.	Individual organisations may lose their identity and distinct reputation when they become part of successful coalitions.	Reaffirm the importance of autonomy and decentralisation.
Coalitions are more effective in influencing and enabling policy change.	Only visible members and leaders of a coalition get credit for successes in influencing and enabling policy change.	Ensure good participation by all members.
Coalitions bring enthusiasm into a campaign and advocacy.	Many coalitions eventually stagnate.	Gaining small victories can sustain momentum. Coalition objectives should remain SMART (see Module 1).

NOTES

Making a Difference
–Monitoring and evaluation of advocacy

5

As noted in Module 1, assessing the impact of advocacy work – or more technically speaking, monitoring and evaluating processes and outcomes, and whether the SMART objectives are being met – is oftentimes a neglected stage in the advocacy planning cycle. Yet it is a vital part, without which campaigns can become inflexible, unable to adjust to changes in the environment and most important of all, unable to determine whether the advocacy activities are making any difference.

Advocacy is often regarded as an art rather than a science. The process of monitoring and evaluation is where a lot of the science comes in. Monitoring and evaluation is about using various tools and methodologies, applying logical and rational thinking as to whether objectives have been met, and explaining the reasons why.

The processes of monitoring and evalution outlined in this module can:

» **Help identify problems and their causes**

» **Suggest possible solutions to problems**

» **Raise questions about assumptions and strategy**

» **Push one to reflect on where a campaign is going and how it is getting there**

» **Provide information and insight**

» **Encourage action on the information and insight**

» **Increase the likelihood of making a positive development difference**

INTRODUCTION

Project work, for example constructing a handpump that provides clean water in a poor rural village, can be more easily monitored and evaluated. Logbooks can record how many people use it, when or how much. Time spent to queue can be monitored. The average handpump-to-household distance can be measured. Impact can then be assessed by looking at relevant health figures before and after construction, or by conducting key informant interviews and focus group discussions. If, say, US $10,000 on average is used to construct such a handpump (for materials, labor, staff and other expenses), and 150 households totalling about 1,000 people benefit, it can be claimed that one person is connected to a clean water source for every US $10 spent on handpump construction.

Such cost-benefit ratios could not similarly be computed for advocacy work. Money spent for holding meetings, mobilising people, drafting petitions or sending delegations to pressure the national government to increase the budget for handpump construction could not be broken down into the number of beneficiaries per US $10 dollar spent. It could not be known if the cost of sending two advocacy staff to participate in an international policy-setting conference on aid is comparable to the same amount sent on waterpoint maintenance. Cause-and-effect relationships are almost always too complex to establish.

In advocacy it is also usually the case that there is no outright victory. 'Victory' in a project sense is completing construction and starting to use the handpump. But in advocacy the achievement of all campaign objectives is rare. Compromise is often necessary, with some objectives discarded along the way. Advocacy work is often carried out through networks and coalitions, making it difficult to assess the exact contribution of each organisation or group. Campaign goals shift in the middle of implementation. An indicator relevant at the beginning of the campaign may become useless towards the end. Furthermore, a lot of advocacy is long-term work – its real impact may only be known after many years. Finally, advocacy work is often unique, time- and area-specific, and rarely repeated and replicated. Hence, the gradual accumulation of knowledge by repetition – comparable to bits of knowledge learned on how to improve the efficiency of handpump construction – does not really happen.

In short, advocacy assessment is different. However, there are now a number of standards that have become quite common in the monitoring and evaluation of advocacy work. Below is a starting template that can be used directly or modeled upon by WIN members.

Collecting water, Lumbala, Angola.
Image courtesy of WEDC. © Wayne Conradie

TABLE 8: MONITORING AND EVALUATING ADVOCACY: A TEMPLATE

Standard of M&E to develop	What this entails	Examples; other points to consider
The monitoring and evaluation of advocacy is planned right at the beginning of the cycle.	Create SMART objectives. Advocacy objectives are easier to monitor and evaluate when they conform to the SMART criteria (see Module 1).	In some contexts it is not always easy to adopt SMART objectives. It may, for example, further complicate an already cumbersome bureaucratic process. A gradual application may be necessary.
	Develop indicators to monitor progress. Indicators are simply predetermined milestones that give a sense of progress once they are achieved.	Examples of indicators of external progress: » A face-to-face meeting took place where a policy paper was presented and discussed with the Minister of Water. » A multi-stakeholder committee was created to draft the text of an Integrity Pact.
		Examples of indicators of internal progress: » Agreement reached in the coalition on the standards to be included in the Integrity Pact. » Regular, well-chaired meetings with clear post-meeting communications take place.
M&E involves documentation.	When doing advocacy, leave a paper trail that later can be followed for evaluation purposes. Written objectives, action plans, timelines, minutes of meetings, reports on interaction with targets, budgets and many others can be essential materials.	However, decide what types of data or information you can document or collect to verify the progress, outcomes and impact of your advocacy efforts. The goal is not to document everything but to help record, understand and explain what happened and why, when unexpected events occur. For example, if your advocacy objective is to convince the minister, collecting newspaper clippings about the minister and his office may be useful.
	Document smaller successes that contribute to the overall goal.	Because there is often no outright victory in an advocacy campaign, small incremental indicators of progress that contribute to the overall goal are necessary. For example, despite your face-to-face meeting, the minister remains non-committal toward your policy proposal. However, a smaller success you can document is that you have already developed quick access to the minister's office.
In the first stages, focus on outcomes rather than impact.	Outcome indicators are concrete results that you want to generate through your advocacy activities.	For example, as a result of your face-to-face meeting with and briefing of the minister, a circular was drafted and circulated by the ministry that outlined the steps to the bidding process. Other examples include answers to the following questions: » What has changed as a result of press campaign you organised? » How did the publication of research change deliberations on the issue in the parliament or among donors? » How many 'influentials' have taken steps after providing them with face-to-face briefings?
	Outcomes are short-term, intermediate changes. Impacts are typically broader, longer-term, strategic changes.	Example of outcome: After a meeting, an agreement is reached to adopt an Integrity Pact. Example of impact: A year after the Integrity Pact is adopted, it has become standard for contractors to publish their workplans and targets on all community construction projects.
	Documenting outcomes (of changes that have taken place) may involve organising focus group discussions, building case studies, or interviewing key members of the community.	Time and resources need to be invested in M&E if it is to be properly done. Think of both qualitative as well as quantitative data to document. Quantitative data can be developed with surveys or other similar tools. Quantitative data often only tracks outputs, while qualitative data reveals more about effects.

TABLE 8: MONITORING AND EVALUATING ADVOCACY: A TEMPLATE *Continued*

Standard of M&E to develop	What this entails	Examples; other points to consider
Build review points in your plan.	At regular intervals you can stop and assess how the work is going. This allows you to shift focus, re-plan, or redirect resources when necessary.	If points 2 and 3 above (documentation, focusing on outcomes) have been done properly, review points will be relatively easy to conduct.
	Take note of impact indicators – indicators that show what positive change on the lives of people were achieved from your advocacy efforts.	Advocacy is complex, long term and often involves many players. Hence, it is often hard to show the impact was the result of your advocacy efforts. Often, it is more credible to show how your efforts have contributed to that impact.
Evaluate systematically.	Tell the story of your advocacy efforts. Why and what have you learned from the experience.	In preparing an evaluation report, consider and answer the following questions: » What did we set out to achieve? Set out your goal, objectives, the policy change sought and why. » What did we do and how did we go about it? » What incremental successes did we achieve that moved us closer to achieving our goal? How and why were these steps successful? » What challenges did we face along the way? How did we respond? What worked and what did not? What would we do differently? » What positive changes have there been in the lives of the people we sought to benefit by our advocacy efforts? » How have our advocacy efforts contributed to these changes?

Group discussion. © Water Integrity network

Below are two further tools for monitoring and evaluation adapted from WaterAid's Advocacy Sourcebook.

BOX 5.1: QUESTIONS FOR THE 'AUDIENCE' AND THE 'CLIENT'

The 'audience' is the target or targets of an advocacy, the people or institutions we are trying to influence to change policy. The 'client', on the other hand, are the people we are accountable to – the people on whose behalf we are advocating. Because the people who undertake advocacy have relationships with both audience and clients, monitoring and evaluation needs to assess both directions.

Questions about the audience or targets

» Who was supposed to hear the message?
» Who has heard the message?
» How did they interpret the message?
» How was it different from other messages?
» What did they do in response?
» Have they heard of the sender?
» How do they differentiate the sender from others who might be sending similar messages?

Questions about the impact of advocacy on the 'client' on whose behalf the work was undertaken

» How are they reached or contacted regarding the advocacy campaign?
» To what extent has the advocacy work been explained to them?
» Has there been an attempt to get them to rank advocacy work versus other activities they might see as more relevant?
» What effort has been made to provide feedback about the results of advocacy work?
» To what extent are 'clients' more confident to do advocacy work on their own?
» What effort has been made to seek their assessment of results and get their confirmation of assumed impact?

Source: Rick Davies, quoted in Roche 1999, *Advocacy Sourcebook*, WaterAid, p. 68

BOX 5.2: TOOL FOR SELF-ASSESSMENT
(adapted from R.R. Sharma)

This questionnaire can be completed as a group or by individuals who then share their results with the rest of the team.

Advocacy objective

» Is your advocacy objective moving smoothly through the process or have you encountered some obstacles? What are the obstacles and how can they be overcome?
» What else can you do to move your objective forward? Would building new alliances or increasing your media outreach help move your objective through the decision-making process?
» If your objective does not seem achievable, should you alter it? What would be achievable? Could you achieve part of your objectives by negotiating or compromising?
» How much does the policy/programme change reflect your objective? Did you win your objective entirely, partly or not at all?
» Can/should you try to achieve the rest of your objective during the next decision-making cycle? Or should you move on to an entirely new advocacy objective? What are the pros and cons for each decision?
» Did the policy/programme change make a difference to the problem you were addressing? If you achieved your objective in whole or in part, has it had the impact you intended?

Message delivery/communications

» Did your message(s) reach the key audiences? If not, how can you better reach those audiences?
» Did your audiences respond positively to your message(s)? Which messages worked? Why? Which did not work and why? How can you alter the messages which were not effective?
» Which formats for delivery worked well? Which were not effective and why? How can these formats be changed or improved?
» Did you receive any media or press coverage? Was it helpful to your effort? How could your media relations be improved?

Use of research and data

» How did using data and research enhance your effort?
» Were data presented clearly and persuasively? How could your presentation be improved?
» Did your advocacy effort raise new research questions? Is more data needed to support your advocacy objective? If so, is the data available elsewhere or do you need to conduct the research?

Message delivery/communications

» Is the decision-making process more open because of your efforts? If so, how?
» Will it be easier to reach and persuade the decision-makers next time? Why, or why not?
» How many more people/organisations are involved in the decision-making process than before you began? How has this helped or hindered your efforts?
» How could you improve the way you move the decision-making process forward?

Coalition-building

» How was your coalition able to draw attention to the issue and build support for the advocacy objective?
» Was information distributed to coalition members in a timely fashion? How could information dissemination be improved?
» Are there any unresolved conflicts in the coalition? How can these be addressed and resolved?
» Is there a high level of cooperation and information exchange among coalition members? How could internal coalition relations be enhanced?
» Did the coalition gain or lose any members? How can you enlist new members and/or prevent members from leaving?
» Does the coalition provide opportunities for leadership development among members?
» How was your network helpful to your advocacy? How can you expand your network?

Overall management/organisational issues

» Is your advocacy effort financially viable? How could you raise additional resources?
» Is the accounting system adequate? Can you provide an accurate accounting of how money was spent?
» How could your financial resources have been used more efficiently?
» Are you or your organisation overwhelmed or discouraged? How could you get more assistance? Should you narrow your goal or extend your time frame to make your effort more manageable?
» Are you or your organisation overwhelmed or discouraged? How could you get more assistance? Should you narrow your goal or extend your time frame to make your effort more manageable?

Dirty drinking water. © Sean Warren / Istock

CONCLUSION

It is important to monitor and evaluate the effect of advocacy against corruption in the water sector. Without a final evaluation of the work, there is no accurate means to understand if the advocacy campaign was effective and the impact made at the end of this campaign. Moreover, monitoring and evaluation is important when campaigning against such a complex issue as corruption, where results are not easily visible.

The suggestions offered in this module assist to integrate monitoring and evaluation standards throughout an advocacy campaign. This includes checking SMART objectives, proper documentation, focusing on outcomes, and asking review questions. The module closes with a self-assessment tool – a questionnaire that checks each element of your campaign: advocacy objectives, communications, use of research and data, coalition building and overall management.

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NOTES

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