TrustAfrica – IDEG

BUILDING AN EFFECTIVE ADVOCACY MOVEMENT FOR SUSTAINABLE AND EQUITABLE AGRICULTURAL DEVELOPMENT IN AFRICA PROJECT

A TRAINING PROGRAM TO IMPROVE NETWORKING AND ADVOCACY EFFORTS OF SMALLHOLDER ADVOCACY ORGANISATIONS

MARCH 2011
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**ACRONYMS**

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<th>Acronym</th>
<th>Description</th>
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<tr>
<td>ACP</td>
<td>African, Caribbean and Pacific Group of States</td>
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<tr>
<td>AfDB</td>
<td>African Development Bank</td>
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<tr>
<td>AU</td>
<td>African Union</td>
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<td>CAADP</td>
<td>Comprehensive African Agriculture Development Programme</td>
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<td>CBO</td>
<td>Community Based Organization</td>
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<tr>
<td>CCP-AU</td>
<td>Centre for Citizens' Participation in the African Union</td>
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<td>CIDA</td>
<td>Canadian International Development Agency</td>
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<tr>
<td>CSO</td>
<td>Civil Society Organization</td>
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<tr>
<td>ECOWAP</td>
<td>Economic Community of West African States Agricultural Policy</td>
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<tr>
<td>ECOWAS</td>
<td>Economic Community of West African States</td>
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<tr>
<td>EPA</td>
<td>Economic Partnership Agreements</td>
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<td>EU</td>
<td>European Union</td>
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<td>GDP</td>
<td>Gross Domestic Product</td>
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<td>GIF</td>
<td>Governance Issue Forum</td>
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<td>GPAFS</td>
<td>Global Partnership on Agriculture and Food Security</td>
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<td>FAO</td>
<td>Food and Agriculture Organization</td>
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<td>FIAN</td>
<td>FoodFirst Information and Action Network</td>
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<td>IDASA</td>
<td>Institute for Democracy in Africa</td>
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<td>IDEG</td>
<td>Institute for Democratic Governance</td>
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<tr>
<td>IFI</td>
<td>International Finance Organization</td>
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<tr>
<td>IIED</td>
<td>Institute for Environment and Development</td>
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<tr>
<td>IMF</td>
<td>International Monetary Fund</td>
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<tr>
<td>LDC</td>
<td>Least Developed Country</td>
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<td>MDG</td>
<td>Millennium Development Goal</td>
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<td>NEPAD</td>
<td>New Partnership for African Development</td>
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<td>NAIP</td>
<td>National Agricultural Investment Plans</td>
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<td>NGO</td>
<td>Non Governmental Organization</td>
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<td>OCHA</td>
<td>Office for the Coordination of Humanitarian Affairs</td>
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<tr>
<td>OECD</td>
<td>Organisation for Economic Co-operation and Development</td>
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<tr>
<td>SWAP</td>
<td>Sector Wide Approach</td>
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<tr>
<td>UNDP</td>
<td>United Nations Development Programme</td>
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<tr>
<td>UNHCR</td>
<td>United Nations High Commissioner for Refugees</td>
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<tr>
<td>UNICEF</td>
<td>United Nations Children's Fund</td>
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<td>UNIFEM</td>
<td>United Nations Development Fund for Women</td>
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<td>WB</td>
<td>World Bank</td>
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ACKNOWLEDGEMENTS

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About TrustAfrica

TrustAfrica is a public foundation that strives to secure the conditions for democratic governance and equitable development throughout the continent. Led by Africans we convene dialogues, award grants, and provide technical assistance to advance these goals. We focus on three critical issues:

- Amplifying the voice of African citizens to hold their governments accountable;
- Fostering African enterprise and achieving broadly shared prosperity and
- Cultivating African Resource for democracy and development

Our long-term vision is to secure conditions for democratic governance by strengthening the capacity of civil society organisations. Furthermore TrustAfrica supports efforts to foster African enterprise and extend the benefits of economic growth to all members of society. We believe the lives and livelihoods of Africa’s people are shaped to a great extent by the vitality of its economy.

As part of the vision to secure conditions of equitable development TrustAfrica working in partnership with the Bill and Melinda Gates Foundation is carrying a program aimed at strengthening policy advocacy capacities within smallholder farmers' unions, associations and intermediary NGOs that represent the interests of smallholders. The programme is currently being implemented in three sub-regions of Africa; West (Ghana & Mali), East (Tanzania, Uganda and Kenya) and South (Malawi) — which represent a combined population of approximately 160 million. Our long-term objective is to contribute towards the emergence/strengthening of an advocacy movement that is proactively engaged in policy process which will ultimately lead to a sustainable and equitable agriculture in the participating countries and within the sub-regions.

Website: www.trustafrica.org

About IDEG

The Institute for Democratic Governance (IDEG) is an independent, not-for-profit policy research and advocacy organization with the vision of becoming a leading think tank in Africa, accumulating and sharing knowledge for sustainable development and a free, just and prosperous society. Its mission is to generate knowledge and enhance the capacity of citizens to influence public policy choices in order to consolidate democracy and good governance in Ghana and the rest of Africa. The Institute's objective includes a) carrying out research and analysis of public policies, including monitoring their impact on democracy and good governance; b) publishing and disseminating information on research findings so as to enlighten public policy debates; c) developing ideas and methods for effective participation of civil society and private sector actors in the public policy process; d)
organising public forums to sustain popular participation in development policy thinking, dialogue, and consensus building in order to foster strategic partnership between non-state and state actors; and e) promoting awareness and strengthening respect for human rights and democratic values and norms in national and regional developmental processes.

IDEG comes to the small holder project with over a decade’s experience in citizens engagement at all levels. Locally, the Institute works through the Governance Issues Forum (GIF), an integrated mechanism for promoting citizens’ participation in decision-making and the development of local economies. On the national level, IDEG works with Parliament particularly in budget analysis as well as key State Institutions including the Ministry of Finance and Economic Planning on issues of development aid and cooperation and governance issues. The Institute actively work with the media in disseminating knowledge on national issues raised on its interface platforms and collaborates with several civil society organisations. Continentally, IDEG serves on the Task Force of the Centre for Citizens’ Participation in the African Union (CCP-AU) with the aim of facilitating civil society engagement with the AU to allow citizens hold their national governments accountable to decisions taken at the continental level.

Website: http://www.ideg.org

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INTRODUCTION

The TrustAfrica-led initiative on improving agricultural policies in 6 selected countries entitled ‘Building Effective Advocacy Movement for Agricultural Development in Africa’ seeks to achieve its objectives and goals through scoping studies, allocation of small grants to smallholder advocacy organisations and to provide technical assistance to smallholder farmers’ organisations. This concept note provides a framework for the provision of technical assistance in the form of a capacity-strengthening workshop. In developing the workshop we recognize and welcome the existence of other various sub-regional and regional initiatives/platforms that potentially contributes towards achieving similar goals.

Briefly we note that although smallholder agriculture remains the most common activity in Africa, it has in many instances been removed from economic development discourse and reduced into some form of an idealised past time whose goal is the realisation of narrow social goals such as food security. Instead the large-scale farm sector is perceived as the driver of economic growth in the sector—resulting in it receiving widespread support from the development sector. Even countries that did not have a significant large farm sector such as Tanzania, Mali and Uganda have recently, through various arrangements, leased their land to foreign investors who are producing crops for bio-fuel and food crops for export. However we believe that this should not be the case. African governments need to invest more resources into smallholder agriculture. Currently the smallholder sector faces the challenge of deceleration of technological transformation and reduced per capita utilisation of inputs such as improved seed, fertiliser, etc. The majority of smallholders lack access to new technologies-most of the smallholders in countries such as Tanzania, Malawi and Uganda still use hoes to till the land. In most instances the same smallholders are trapped by rising costs of inputs such as seeds, they depend upon human labour and often do not have sufficient or good quality land. Smallholder farmers’ limited access to and low usage of modern productive technologies is a function of a number of factors including low-income levels amongst the farmers, limited access to information and poor access to modern technologies due to poor road and transport infrastructure. These are some of the areas that need to be addressed in order to achieve equitable economic growth.

Background to the Workshop

In 2010 TrustAfrica entered into an agreement with the Accra based Institute for Democratic Governance (IDEG) where the latter was requested to develop a short course whose focus would be on highlighting the issues currently affecting smallholders, identifying opportunities within the policy terrain and also to sharpen policy advocacy skills. The workshop is being held under the banner of ‘Consolidating Smallholder Agriculture Advocacy Capacity in Africa’ and we expect
that at the end of the four-day programme we will have strengthened possibilities of loosely networking amongst the TrustAfrica grant recipients gathered at the workshop and establishing a community of practice aimed at improving smallholder agricultural policies. Furthermore the workshop should contribute towards increased capacities within the different constituencies dealing with smallholder agricultural policy issues.

The design and content of the course has largely been informed by the broader objectives of TrustAfrica’s Equitable Development programme which houses the ‘Building an Effective Movement for Sustainable Agriculture’ project. During Phase One of this project TrustAfrica commissioned country studies on patterns of agricultural policy making with a particular focus on smallholder agriculture and also in evaluating how civil society organisations are engaging (included) in the policy reform processes taking place in Africa.

Why Another Workshop?
In the last decade (especially after the 2007/8 food crisis) Africa has witnessed the re-emergence of renewed interest in smallholder agriculture. In 2009 at their meeting at L’Aquila in Italy the G8 countries committed to invest US$20 billion over 3 years to encourage the rural development of poor countries. Initiatives such as the Alliance for the Green Revolution for Africa (AGRA) initially worth US$100million and the Africa Enterprise Challenge Fund (AECF) have also emerged as major interventions in agricultural investment. Countries that have signed the Comprehensive Africa Agricultural Development Program compact such as Rwanda have begun to access the G8 funds whilst AGRA’s investment in agro-dealer networks has taken off in Kenya and Malawi. However, some of the investments that have come to Africa mimic the colonial era type of business approaches. In 2009 oil-producing countries such as Bahrain, Qatar and the United Arab Emirates bought vast tracts of land in Tanzania and Uganda for food production for consumption in their own countries.

Even within such a context of renewed optimism in smallholder agriculture we note a gap in terms of non-state actors’ interventions in policy reform. We have already observed elsewhere that ‘the official processes surrounding CAADP seem to be well supported by the international donor community’. Support to civil society organisations, especially the representative associations such as small farmers’ unions, associations, cooperatives and women’s organisations to proactively engage with the policy reform processes remains weakly and incoherently organised. Although many organisations focused on policy reform have emerged in this space, their actual impact on smallholder agricultural policy reform has not been adequately examined or measured. There still remains a general dearth of coherent and informed policy analysis that can inform a more comprehensive process of smallholder agricultural development in most of Africa.
Current policy reform trajectories are heavily dominated by ‘policy craftsmen’ based in Western multi-lateral organisations with very limited engagement of expertise resident within the continent and even the grassroots that is meant to benefit from such reforms. Most of Africa is yet to recover from the damage caused by structural adjustment programmes which in brief, recommended the reduction of expenditure into agriculture and privatized research and extension- in the process the policy formulation skills that were being nurtured migrated into the private sector, multi-lateral institutions and in some cases into the NGO sector (within and outside Africa). In most of Africa the period of the adoption of SAPs coincided with an increase in policy bungling and in Agriculture the most destructive prescription was the decline in overall expenditure towards the smallholder sector and also an abdication of the state’s role from agricultural planning and marketing towards an emphasis on a liberal market framework where the price of inputs and commodities were to be determined by the market. The net result of these policy changes have been a decline in productivity, continued marginalisation of African smallholders on the international market. Furthermore the previous decades have been characterised by an accelerated insertion of African agriculture into international commodity markets which favour Western based farmers and unfair international trade environment mediated by the World Trade Organisation (WTO).

Beyond these challenges, civil society in Africa especially representative organisations (farmer unions, associations, and community based organisations) and intermediary NGOs have not received adequate support to effectively organize themselves and also to influence agricultural policy. Some of the organisations are manned by actors with inadequate policy literacy and analysis skills. Rarely are these organisations consulted by their governments in the formulation of policy. In fact most governments prefer to work with policy technocrats/consultants that are affiliated to multi-lateral development agencies. This scenario has contributed towards a weak policy environment in which government identifies the problem and formulates policy without consulting affected beneficiary communities. The policy environment is characterized by ad-hocism, promotion of narrow interests, inadequate policies and lack of a ‘buy-in’ from relevant non-state actors.

In the meantime smallholder systems within the sub-region have either declined in productivity or remained stagnant except in export products. In most cases the logic of smallholder rural production has been to achieve household self-sustenance in meeting food requirements and other critical social reproduction needs but however this has failed in several cases. The region has seen a steady increase in the number of food insecure households beginning in the 1990s and estimates show that one in three people living in the sub-region is under nourished (Action Aid, 2010:7).
Objectives
The four-day workshop is one amongst many other initiatives that seek to respond to the broad challenges laid out in the background above but more importantly to strengthen advocacy capacities within organisations representing smallholder organisations in engaging with the CAADP processes. The course aims to improve both the internal processes of accountability, structures of internal governance and the external policy environment. We hope to strengthen policy analysis skills through the clarification of the role of policy in agricultural development, clarifying the different stages of engaging with the policy process. The workshop will strengthen the analytical skills of participants by equipping them with the necessary tools to analyze public policies but with particular attention devoted to agricultural processes.

In the long run we expect that such an intervention will contribute towards enhancing smallholder agriculture and rural livelihoods. The overall objective of the course is to set the broad framework for capacity building in advocacy organisations (internal processes, research, advice, skills and tactics of advocating for policy changed). More critically the objective is to mobilize interest in rigorous evidence based policy analysis and also to provide a platform for the establishment of partnerships between smallholder representative organisations, research institutions and sub-regional networks. The specific objectives of the workshops are to:

- Improve understanding of the public policy process
- Raise awareness on CAADP process and establish areas in which CSOs can make a contribution
- Improve on identification of issues, design, formulation and implementation of policy.
- Mobilize interest among participants to engage in evidence based policy advocacy
- Encourage the development of partnerships between research institutions and advocacy organizations
- Movement building around agricultural advocacy
- Develop a loose network/coalition amongst the participating organisations.

Rationale for the Workshop
The TrustAfrica led initiative on ‘Building Effective Advocacy Movement for Agricultural Development in Africa’ responds to the challenge of improving agricultural policies particularly in the manner in which they affect the smallholder sector. The Course will contribute towards the development of a broad based loose movement of smallholder advocacy organisations and create a critical core of credible advocates for the development of smallholder policies. The TrustAfrica initiative realises that there are few institutions within the selected countries that have high-level agricultural policy analytical skills. Most organizations are thinly
stretched in terms of capacity, while resources to engage experts in this field are limited. There are also few institutions that offer training on policy analysis and advocacy issues. The offerings from the various universities mostly within the Faculty of Agriculture tend to focus on the science of agriculture without an attendant discussion on an effective policy regime especially around the allocation of resources. The challenge therefore is to come up with a policy course that focuses on agricultural policy issues and draw on individuals within and outside the university system as resource persons. The project responds to these challenges and aims to mobilize local capacities to engage in smallholder agricultural policy development and to promote partnerships for the exchange of international experiences in these fields.

Use of Manual
The four-part course manual details a full curriculum to be offered to participants in not less than four days. The training sessions should offer knowledge building and learning as well as skills-upgrading for effective advocacy. It particularly introduces and harnesses knowledge in agricultural policies, public deliberation and dialogue, citizens networking and collective action, citizens advocacy and policy influence, budget processes, organisational development and financial accountability with the aim to improve networking and advocacy efforts of smallholder advocacy organisations.

The generic groups being targeted include the umbrella representative farmers' associations, women's associations, intermediary NGOs within communities and cooperatives. The courses can be offered as ‘stand-alone’ or a comprehensive course for farmers, policy advocacy organisations particularly those who would serve as trainers to others in their organisations, constituencies or communities.

Methodology
The training is expected to apply experiential, exploratory and interactive approaches. Although some sessions might require some ‘teaching’, it is mainly expected to be a participant-led process that encourages active participation and learning. The workshop will be delivered in English.
BLOCK ONE

GLOBAL & CONTINENTAL AGRICULTURAL POLICIES
SESSION 1
MODULE: GOVERNANCE AND POLICY MAKING

UNITs
- Introduction to the concept of Governance
- Introduction to the principles of policy-making
- Policymaking processes at the local/district, national and international level
- Introduction to policies that shape African Agriculture (CAADP, ECOWAP, etc);
- Multilateral and bilateral actors and the influence of agriculture policy
- The roles of farmers in policymaking

Facilitators’ Note
- Discussions around policy process/policy making should aim at demystifying policy as the sole domain of government officials
- Prior to the introduction of each concept/module the facilitator should spend some few minutes to gauge the level of understand among participants so the she/he can manage time in a way that will allow all participants to gain understanding as well as actively engage in the discussions
- Emphasis should be placed of how participants, especially smallholder farmers or their organisations can claim space on the policy table than becoming reactive in policy making.
- Participants or farmers need to know their roles in policy making. Find out if they had initial conceptions on such roles that they can.
- Avoid situations whereby a single or few participants who appear knowledgeable in particular subject area(s) hijack class interactions and prevent others from participating actively.
- Sessions on this module are not activity-oriented the aim is to introduce concepts which will later be applied in other modules.
- Include a gender component to discussions on governance and on policy making.

Methodology
Facilitated discussion

Duration: 2hr
Overview of Module

African agricultural policies have not succeeded in promoting the course of farmers, especially smallholder farmers including women. Often times, such policies have not reflected the needs and aspirations of smallholder farmers. This has been largely due to the absence of African smallholder farmers in the policy making process. Such absence has not been the making of the farmers themselves. Instead, government officials mandated to formulate public policies have regarded policy making as their sole domain. Hence, efforts have not been made to ensure participatory policy making in which farmers could play key and effective roles. Beyond the lack of participation in policy making, African farmers require information on how institutions outside the continent affect their livelihoods as well as the role they (farmers) need to play in bringing about change in both national and international agricultural policies.

In view of this, there ought to be a paradigm shift in the interpretation of the concept of policy making so that citizens (smallholder farmers) can claim a space in the policy arena. Also, there is the need for citizens to be equipped with the skills to enable them effectively engage at levels where they can be instrumental in defining what they perceive as public problems and be able propose alternative solutions and options.

In addition, citizens require information on how externalities may affect the nature of policies formulated in their own countries as well as understanding the roles they can play in public policy making.
Unit 1: Introduction to the concept of Governance

Objective:
By the end of the session participants should be able to understand the difference between government and governance, and to appreciate that citizens constitutes a critical cornerstone in ensuring good governance practices in the context of public decision-making;

What is Government and Governance?

Government

‘Government’ exists at different levels in society so the meaning should not be limited to the state capital with its large state government office buildings or the State House or Parliament. For the purpose of our discussion we shall call this ‘State or Civil Government and it is only an aspect of the broader term.

Basically, government has to do with the way in which people conduct themselves as they carry out their personal, family, community or organisational and national affairs. This implies that we have spheres of government:

Personal or Self-government

• This is the most basic sphere of government. It makes each individual accountable to him or herself and it is symbolised by personal conscience. The conscience first regulates or judges how an individual conducts him or herself before family, community or the state. The individual is the sole participant in the decision making process about his/her life though there may be consultation with others.

Family government

• The family is responsible to care for the needs of their children and the elderly. Also the family is responsible for the training of the children, imbibing in them social norms and values of society. The highest decision making body is parents (in the case of a nuclear family) or council of elders (in the case of extended family) though children may be consulted. In some extended families consultation, especially with women may be lacking and there is limited to which women and children can participate in the decision making process.
Organisational government

- A group selected from an organisation (interest groups, corporate bodies, farmers associations, faith based etc.) charged with the responsibility for making and implementing policies but in consultation or the participation of the members.

State/National/Civil government

- State governments have local, district, regional (provincial) and national jurisdictions. The state government's primary responsibility is to protect its law-abiding citizens from lawbreakers and aggressors.

In our Context

**Government** refers to a particular group of people, (the administrative bureaucracy), who control a (nation-) state at a given time. That is, governments are the means through which state power is employed. A government is thus, the organisation, machinery, or agency through which a political unit exercises its authority, controls and manages public policy, and directs and controls the actions of its members or subjects.

The fact that governments manage/administer public policy implies that the process or exercise involved in public policy making is not the sole domain of ‘government’ whichever way the term is defined.

Discussion Point: Although governance is often seen as a formal decision making process, there are informal governance processes that govern people’s decisions that involve actors working to influence decision-making in agricultural policies. Can any participants name any of these processes? (examples can include processes that take place in durbars, funerals or other social programmes)

Governance

Some definitions

“The exercise of economic, political and administrative authority to manage a country’s affairs at all levels. It comprises the mechanisms, processes and institutions, through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations and mediate their differences”

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“Governance refers to sustaining coordination and coherence among a wide variety of actors with different purposes and objectives”\(^2\).

“Governance is the process whereby societies or organizations make important decisions, determine whom they involve and how they render account”.\(^3\)

The actors mentioned in these definitions may include political actors and institutions, interest groups, civil society, non-governmental and transnational organisations. This definition demonstrates that some of the functions that some may think of as the preserve of government may be taken over by citizens or interest groups.

These definitions imply that governance is broader than government. If governance is about policy making, citizens have a role to play in complementing the political institutions that they (citizens) have agreed to govern.

**In our context governance:**

Simply refers to the process of decision-making and the process by which decisions are implemented (or not implemented). Citizens can only be part of governance if there is good governance.

**Characteristics of Good Governance**

Good governance has 8 major characteristics:

1. **Participation:** by both men and women is a key cornerstone of good governance. Participation could be either direct or through legitimate intermediate institutions or representatives. Representative democracy may not necessarily mean that the concerns of the most vulnerable in society would be taken into consideration in decision making. Participation needs to be informed and organised to ensure the views of minorities are taken into account and that the voices of the most vulnerable in society are heard in decision-making.

   **In the context of agricultural policy making the practice whereby women farmers are represented by their men folk may not the best. If women represent themselves, articulation of their needs, aspirations and concerns will be better done in that they only (women) know the true nature of their jobs as defined by their own circumstances and experiences.**

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\(^3\) Institute on Governance (Canada), 2002 (see [http://www.iog.ca/](http://www.iog.ca/)). Accessed 1/03/11
2. **Rule of law**: Good governance requires fair legal frameworks that are enforced impartially. It also requires full protection of human rights, particularly those of minorities and vulnerable groups such as women and children. Impartial enforcement of laws requires an independent judiciary.

3. **Transparency**: decisions taken and their enforcement are done in a manner that follows rules and regulations. It also means that information is freely available and directly accessible to those who will be affected by such decisions and their enforcement. It also means that enough information is provided and that it is provided in easily understandable forms and media.

4. **Responsiveness** Good governance requires that institutions and processes try to serve all stakeholders within a reasonable timeframe.

5. **Consensus oriented**: Good governance requires mediation of the different interests in society to reach a broad consensus in society on what is in the best interest of the whole community and how this can be achieved. It also requires a broad and long-term perspective on what is needed for sustainable human development and how to achieve the goals of such development.

6. **Equity and inclusiveness**: A society’s well being depends on ensuring that all its members feel that they have a stake in it and do not feel excluded from the mainstream of society. This requires all groups, but particularly the most vulnerable, and often the under-represented such as women and smallholder farmers, have opportunities to improve or maintain their well being.

7. **Effectiveness and efficiency**: Good governance means that processes and institutions produce results that meet the needs of society while making the best use of resources at their disposal. The concept of efficiency in the context of good governance also covers the sustainable use of natural resources and the protection of the environment.

8. **Accountability**: Accountability is a key requirement of good governance. Not only governmental institutions but also the private sector and civil society organisations must be accountable to the public and to their institutional stakeholders. Who is accountable to whom varies depending on whether decisions or actions taken are internal or external to an organisation or institution. In general an organisation or an institution is accountable to those who will be affected by its decisions or actions. Accountability cannot be enforced without transparency and the rule of law.
Unit 2: Introduction to the principles of policy-making

Objectives:
By the end of the session participants should be able to:

- Appreciate the concept of policy and make a distinction between individual, organisation and government policies;
- Appreciate key factors/considerations in public policy development
- Understand the guiding principles for participation in public policy making
- Appreciate the essence of citizens’ (especially the poor) participation in the policy process

What is Policy?
Based on values and interests individuals, families, organisations, communities and governments have policies that guide how actions are undertaken in specific circumstances.

Individuals have policies:
I do not pick up hitchhikers. ... interest > personal safety
I always buy Africa goods. ... value > support African employment generation

Families have policies:
We always say grace before eating supper. ... value > spirituality
We limit telephone calls to 5 minutes. ... value > respect for the needs of others

Organizations have policies:
Personnel policies (hiring, vacation leave, salary levels, office size, etc.)
Operational policies (shift scheduling, client complaints, inventory control, etc.)

Governments have policies:
Government policies, (also known as public policies) guide decisions and actions that relate to society as a whole. Public policies are developed by federal, provincial, territorial, and municipal/district levels of government.

Policy defined
- A policy is as a principle or rule to guide decisions and achieve realistic outcome(s).
- Policy is set of decisions which are oriented towards a long-term purpose or to a particular problem.
- A "policy" is very much like a decision or a set of decisions, and we "make", "implement" or "carry out" a policy just as we do with decisions.
Since public policies (government policies) may affect the society the process involve in their formulation, implementation, and evaluation must not be limited to the domain of government officials. Community members have a role to play in team up with government officials or proactively demanding for policy change.

**What then is a public policy?**

There are numerous definitions of public policy. The following are some examples:

<table>
<thead>
<tr>
<th>Definition</th>
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<td>Whatever governments choose to do or not to do. (Dye, 1972, p. 18)</td>
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<tr>
<td>A proposed course of action of a person, group or government within a given environment providing obstacles and opportunities which the policy was proposed to utilize and overcome in an effort to reach a goal or realize an objective or purpose. (Frederich, 1963, p. 79)</td>
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<td>A broad guide to present and future decisions, selected in light of given conditions from a number of alternatives; the actual decision or set of decisions designed to carry out the chosen course of actions; a projected programme consisting of desired objectives (goals) and the means of achieving them. (Daneke and Steiss, 1978)</td>
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<tr>
<td>Commitment to a course or plan of action agreed to by a group of people with the power to carry it out. (Dodd et al., p. 2)</td>
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<td>Public policy is the broad framework of ideas and values within which decisions are taken and action, or inaction, is pursued by governments in relation to some issue or problem. (Brooks, 1989, p. 16)</td>
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</table>

- Briefly stated, Public policy is what public officials, and by extension the citizens, choose to do or not to do about public problems.
- Public policy should seek to achieve a desired goal that is considered to be in the best interest of all members of society.
- Examples include clean air, clean water, good health, high employment, an innovative economy, active trade, high educational attainment, decent and affordable housing, minimal levels of poverty, improved literacy, low crime and a socially cohesive society.

**What are Public Problems?**

Public problems refer to conditions the public widely perceives to be unacceptable and therefore requiring intervention.

*The choice depends on how the public defines the problem and on prevailing societal attitudes about private action in relation to the government’s role.*
Key Factors and Considerations in Public Policy Development

A number of factors and considerations must be kept in mind during public policy development. These factors should enable stakeholders in the policy community, including community members, to judge whether the policy, and the process of developing the policy, is or has been sound.

Public interest:
- Public policy options must be guided by what is in the supreme interest of society as defined by stakeholders;
- The choice of common good should be balanced against any private or special interest;
- The process of developing a public policy must be fully inclusive, especially of those who are often overlooked or unable to participate;
- Community mobilisation is key to creating change by citizens.

Effectiveness: How well a policy achieves its stated goals/objectives.

Efficiency: How well resources are utilised in achieving goals and implementing policy.

Consistency: Public policies must also be aligned with broader goals and strategies of government, with constitutional, legislative and regulatory regime.

Fairness and equity: Degree to which the policy increases equity of all members and sectors of society. This may link directly to consideration of public interest.

Reflective: Public policies should also mirror values of society and/or the community, such as freedom, security, diversity, communality, choice, and privacy.

The implication for the above is that stakeholders including community members have greater role to play in public policy making.

Features of a good public policy

- **Socially acceptable**: Citizens and interest groups feel that the policy reflects their important values and needs. One clear way by which citizens and interest groups will have policies reflecting their values, interests, concerns and aspirations is when they are active participants in the policy process by defining what to them constitute a public problem.

- **Politically viable**: The policy should have sufficient scope, depth, and consensus support that elected officials are comfortable with the decision.
Technically correct: The policy meets any scientific or technical criteria that have been established to guide or support the decision.

Important Factors and Principles for Public Participation

The principles should be considered in developing any plan that involves public participation in the development of public policy:

Context: Those involved in the process need to:
- see the big picture and know why this is being done.

Stated objectives: Processes need to be guided by clear objectives:
- for overall outcomes (for policy, planning, etc.);
- for public participation;

Clear expectations: There needs to be clarity about:
- roles and responsibilities of stakeholders;
- what the public can expect from government;
- who has the final decision.

Inclusive process: Processes for citizen participation need to:
- use processes appropriate to the level of feedback required and the available time;
- involve the right participants at the right time;
- create opportunities for expression of first voice;
- have clear criteria for stakeholder selection/inclusion;
- know who has an interest in a decision.

Openness: The following factors are important when it comes to establishing trust:
- honesty
- shared information
- transparency of process
- consistency
- avoiding surprises

Flexibility: Those designing processes need to:
- know their stakeholders;
- accommodate diverse needs and preferences;
- be prepared to use a variety of methods to accommodate diverse interests and – styles.

Respect for divergent values and views: Effective processes need to:
- place emphasis on understanding;
- avoid win-lose/adversarial process;
- ensure ground rules are in place.
Unit 3: Why does access to policy processes matter to the rural poor (farmers) and citizens’ organisations?

Voice in policy processes by the poor has both intrinsic and instrumental value to the poor. Voice in decision-making that affects one’s life (or lack of it) is a key dimension of well-being. There are at least three areas of clear overlap.

1. Poverty is about a lack of participation and voice in decisions affecting one’s life (in governance this is referred to under dimensions such as accountability, responsiveness, inclusion);

2. Poverty is about a lack of rights and freedoms (relevant governance dimensions are labelled fairness, equity, decency, human rights, the rule of law etc.)

3. Poverty is about a lack of access or poor quality access to public goods and services (in governance this is referred to as state capabilities, performance, efficiency, effectiveness, transparency, control of corruption, delivery of public goods and services).

Homework
➢ What public policies are you most aware of, involved with or concerned about?
➢ Which policies have the greatest impact on your work?
➢ How well do you understand them, their context and dynamics?
➢ Are policy statements available to you?

Further Reading
Bullock Helen et al., Better Policy-Making, Centre for Management and Policy Studies
November 2001

Strategic Policy Making Team Cabinet Office, Professional Policy Making For The Twenty First Century, September 1999


Unit 4: Policymaking processes at the local/district, national and international level

Session Objectives:

By the end of the session participants should:
Level of stakeholder involvement (participatory policy making)

The question of level addresses the “natural” stage of stakeholder involvement in public policy-making, whether this is at the local, district, national, regional and international levels.

“Natural” means the most effective level at which stakeholders can become involved and participate in decision-making. In this context, the concept of subsidiarity is very relevant.

Subsidiarity means that decisions which affect people’s (or stakeholders’) lives should be taken by the lowest capable social organization. Some tasks of policy-making may be best undertaken at the local or district level; others may be best undertaken at the national, regional or international level as shown below;

Levels of policy making

Stakeholder involvement should take place at the level where stakeholders are affected and associated tasks carried out at that level.

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In some cases, the most effective level for stakeholder involvement may not correspond to the capacity of the stakeholders, especially where stakeholders are not well organized, or are diverse or poorly resourced.

Alternative arrangements may have to be made, with the risk of stakeholder involvement being weakened, less representative and/or increasing costs of consultation.

For example, in countries where fish farmers are geographically dispersed, poor and lacking in organization, alternative means for their involvement may have to be used in national or even provincial policy-making. This might be achieved through the participation of a “proxy” organization such as community development organizations that is able to represent fairly the views of these diverse farmers. Alternatively, policy formulators may have to rely on participatory research such as participatory rural appraisal and participatory action research to enhance stakeholder involvement.

General List of Primary and Secondary Stakeholders in Aquaculture Policy-Making (not ranked in order of importance)

<table>
<thead>
<tr>
<th>Primary Stakeholders-Directly Affected</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Aquaculturalists (local, non-local, private entrepreneur, corporate etc.)</td>
</tr>
<tr>
<td>2 Processors, Wholesalers and Retailers</td>
</tr>
<tr>
<td>3 Fry/fingerling/seed/brood stock producers and suppliers</td>
</tr>
<tr>
<td>4 Feed manufacturers and suppliers</td>
</tr>
<tr>
<td>5 Drug, chemicals, equipment manufacturers and suppliers</td>
</tr>
<tr>
<td>6 Fishers/farmers/other local residents adjacent to aquaculture farms or sites</td>
</tr>
<tr>
<td>7 Other water resource uses</td>
</tr>
<tr>
<td>8 Government planners in aquaculture, agriculture, fisheries, coastal zone management</td>
</tr>
<tr>
<td>9 Government aquaculturalist</td>
</tr>
<tr>
<td>10 Extension agents (government and private)</td>
</tr>
<tr>
<td>11 Aquaculture researchers (government and university)</td>
</tr>
<tr>
<td>12 Aquaculture development project workers</td>
</tr>
<tr>
<td>13 Contributors to financial and technical resources (government, donors, banks and other sponsors)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Secondary Stakeholders-Indirectly Affected</th>
</tr>
</thead>
<tbody>
<tr>
<td>a Consumer groups</td>
</tr>
<tr>
<td>b Public interest represented by environmental groups</td>
</tr>
<tr>
<td>c Exporters</td>
</tr>
<tr>
<td>d Quarantine and custom officers</td>
</tr>
<tr>
<td>e Adjacent land owners</td>
</tr>
<tr>
<td>f Forestry organisations (government, private, NGO)</td>
</tr>
<tr>
<td>g Tourism organisations</td>
</tr>
</tbody>
</table>

Adapted from Sevaly, S. 2001
Participatory Policy Making

What is it?

Participatory policy making aims to facilitate the inclusion of individuals or groups in the design of policies via consultative or participatory means to achieve accountability, transparency and active citizenship.

What forms does it take?

Participatory policy making process can be:

1. Supply-driven: that is top-down approach by the government initiating participatory approaches to policy-making;
2. Demand-driven; i.e. bottom-up through particular stakeholder groups advocating a participatory approach or seeking to influence a specific policy.

The role of government

1. Opening political space;
2. Creating right conditions;
3. Setting up the necessary structures and process to enable participatory policy-making.

The Role of Civil Society Organisations

1. Raising awareness about issues at stake;
2. Helping citizens and communities to organise themselves;
3. Advocate for more participatory policy making;
4. Research and drafting of policy alternatives.

What are the levels of participation that can be achieved?

The extent to which participatory policy-making involves real, meaningful participation varies considerably from case to case, and a continuum can be drawn up to illustrate the levels of participation achieved. One such continuum, outlined in an FAO document, suggests seven different levels:

- **Contribution**: voluntary or other forms of input to predetermined programmes and projects;
- **Information sharing**: stakeholders are informed about their rights, responsibilities and options;

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Consultation: stakeholders are given the opportunity to interact and provide feedback, and may express suggestions and concerns. However, analysis and decisions are usually made by outsiders, and stakeholders have no assurance that their input will be used.

Cooperation and consensus building: stakeholders negotiate positions and help determine priorities, but the process is directed by outsiders.

Decision making: stakeholders have a role in making decisions on policy, project design and implementation.

Partnership: stakeholders work together as equals towards mutual goals.

Empowerment: transfer of control over decision-making and resources to stakeholders.

Participatory policy-making can be limited to a once-off exercise for a particular policy process, or can be part of a systemic participatory governance approach by the government in question. Permanent structures such as committees that include citizens’ groups, community members, etc can also be involved. The policy itself can be local, national or international and the participatory element can relate to the design, monitoring, evaluation or reform of the policy.

Tools for Participatory Policy-Making
The following list illustrates the kinds of tools most commonly used in participatory policy-making:

Information-sharing tools: Draft policy documents or progress reports on existing policies can be shared via traditional media such as:

- Radio
- Television
- Newsletters etc.

and electronically through

- websites and emails

as well as via more interactive communication like;

- setting up an information stall in a public space such as a library or market
- or establishing a telephone information line.

Information can also be shared by teaming up with civil society organizations, citizen groups, community leaders or unions who can channel the information to their members.

Consultation tools: These include a wide range of tools starting with discussion forums such as:

- roundtables,
- public hearings,
- town meetings and
- focus groups,
Feedback mechanisms tools included:
- public opinion polls.
- comment periods on a draft policy,

Tools for more continuous consultation include:
- citizen’s panels and
- advisory committees of interest group representatives.

Active participation tools: These tools are related to levels four to seven (cooperation and consensus building, decision making, partnership and empowerment) in the participation continuum described above and involve citizens and communities helping to set the policy agenda, shape the dialogue and propose policy options.

- Examples of those tools most commonly used include ones that involve a small number of stakeholders who are not experts on the policy issue (e.g. consensus conferences and citizen juries),
- ones that include expert publics (e.g. tripartite commissions and joint working groups), and
- ones that promote broader public engagement (e.g. participatory vision and scenario development, citizens’ forums and dialogue processes) including focus groups, consensus conferencing, citizen’s juries and scenario workshops.

Other tools in this category more commonly initiated by CSOs and other ‘external’ stakeholders include
- campaigns,
- partnerships and alliances and,
- policy research that is then fed into a broad dialogue process.

How is it done?

Which tools to use and when?

1. Rural Citizens and Communities engagement in the Policy environment:

Rural populations are often disadvantaged in terms of their involvement in national level policy-making due to their remote location, lack of communications infrastructure, and the general tendency of governments to focus more on the interests and concerns of their urban constituencies.
Tools that can be particularly useful in bringing the voice of rural citizens (including farmers and women) to the policy table include:

- interactive radio drama,
- participatory video,
- Consultation meetings held in the communities and many of the ‘participatory rural appraisal’ techniques such as community mapping, visioning, ranking, etc.

2. Urban citizens’ engagement in the policy making process:

Information sharing tools are easier to use in urban areas as more people have access to mass media and ICT-based tools like websites or blogs. Dialogue tools are sometimes easier to apply in an urban setting as there are more opportunities to bring together groups of people from different backgrounds and more opportunities for people to have a voice in matters of public interest.

Tools such as town hall meetings, citizen juries and public hearings are particularly appropriate for urban settings though these can also been used effectively in rural settings.

3. Citizens’ representative bodies’ engagement in the policy process:

Some tools are designed for use where participation is focused on or channelled through intermediary bodies such as NGOs, community groups, unions, or organizations representing particular interest groups (such as women, smallholder farmers or indigenous people). These include:

- advisory committees and,
- multi-stakeholder dialogues, as well as longer-term approaches such as partnerships for information sharing or consultation or advocacy strategies developed by the interest groups themselves.

**Examples of CSO-led tools**

Three examples of tools whereby CSOs themselves can help support participatory policy-making are campaigns, partnerships and participatory policy research.

a. **Campaigns:** The focus of many advocacy NGOs, campaigns can serve several functions including;

- raising awareness among the general public about the policy issue at hand,
- mobilising action such as citizens’ petitions, and
- pressurising governments to act on the issues and take on board the views expressed through these campaigns.
b. Partnerships: CSOs are increasingly forming partnerships among themselves, with government bodies, or private sector companies in order to influence policy-making at various levels.

For example, numerous CSOs consortiums and networks are actively advocating international policy reform while other CSOs are working very closely with government to review or even help draft national policy and legislation. The latter approach has sometimes been criticized as compromising the independence of the CSOs concerned, although if handled carefully, it can be a powerful means of exerting influence.

c. Participatory policy research: Policy research has been used by civil society organisations and other stakeholder groups to promote and inform participatory policy-making. In the most effective cases, the policy research itself has been undertaken in a participatory manner to bring the voice of ordinary citizens and communities to the attention of policy-makers. To have a real impact on the policy design or reform, the research needs to involve key policy-makers from the start and needs to be integrated into a formal policy review process.

Benefits of Participatory Policy-Making

Better informed policies: Policy making or policy reform requires diverse and complex information and expertise. Participation usually brings a wider range of information, ideas, perspectives, and experiences to the process. For example in environmental policies for example, local people, as principal resource users and managers, often possess important practical knowledge that helps ensure the long-term productivity of the natural resource base. Similarly, CSOs have a wealth of information about local needs and potential.

More equitable policies: Policies that have been designed with attention to local peoples’ needs are more likely to be equitable and fair. This is particularly important where badly designed policies would have a negative impact on the poor or on other disadvantaged groups.

Strengthened transparency and accountability: The participatory process can have wider ramifications for the ‘policy-owning’ body as it helps create an institutional culture of openness and service. The process also encourages greater public attention to the way in which the policy is implemented, thus promoting accountability.

Strengthened ownership: By involving a broader set of stakeholder groups in the design or reform of the policy, the participatory process will help strengthen citizens’
ownership and support for the policy and this in turn will promote more effective implementation.

**Enhanced capacity and inclusion of marginalized groups:** Where participatory policy-making has brought neglected stakeholder groups to the table or at least given them a voice, the process can help empower these groups in a small way to stand up for their rights and make their concerns known. The process can also contribute to changes in power relations between the various constituencies involved particularly, if special efforts have been made to include more marginalized groups.

**Enhanced government capacity:** The participatory process may well have been a new one for the government body and can help build its capacity to recognize multiple views and address diverging perspectives. This new experience and the practical skills gained by those involved in implementing the process will help in future interactions with different stakeholder groups.

**Building the capacity of citizens:** It helps to create and strengthen citizens themselves, increasing their feelings of political efficacy and their political knowledge.

**Common understanding:** Finally, participatory policy making can help promote a common understanding around complex, misunderstood or even contentious issues.

**Challenges and lessons**
The challenges and risks of participatory policy making include:

- **Time and resource needs:** Participatory policy making will always take more time and can be costly, especially when large groups of stakeholders are involved.

- **Raising expectations:** Asking for people’s input into the policy making process is likely to raise their expectations of having their views taken into account. This is not always possible and these limitations need to be clearly spelled out from the beginning.

- **Creating conflicts:** The participatory process can trigger conflicts among the different stakeholder groups by bringing opposing views out into the open and exposing underlying tensions. In addition, if participation fails to include other groups that feel they should have been consulted, this can lead to conflict and opposition to the process. Finally, the process can create divisions within the NGO community if different groups take different positions on the policy issue.
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- **Loss of independence:** By becoming closely involved with a government led process, CSOs can risk losing (or appearing to lose) their independence. This can have serious repercussions in terms of their credibility.

- **Political risks:** The flip side of the above risk is that, by getting involved in policy process, CSOs can be seen by government to be interfering in political matters and a threat to the smooth running of ‘government matters’. However, this true to the extent that policy formulation is regarded as the sole domain of government. Communities have an equally important role to play.

How can these challenges be overcome?

Any CSO considering becoming involved in a participatory policy-making process would need to prepare itself well in order to avoid the types of risks mentioned above. Some suggestions in this regard are:

**Choose your battles:** Not all policies need your participation and you need to be strategic in choosing those which are of particular importance to your cause and where you can make a real difference;

**Define your role:** What are your strengths and weaknesses, what are your capacities; how close do you want to get to the policy-making body?

Further Reading


Unit 5: Introduction to policies that shape African Agriculture

Objectives:
By end of the session participants should:
- Understand the extent to which continental, regional, and inter-continental policies affect agricultural development in Africa;
- appreciate how these policies inspire national level policy formulation;
- be able to make a case for the replication of regional policies in the other parts of Africa

Introduction to the Comprehensive African Agricultural Development Programme (CAADP)

What is CAADP?
The Comprehensive Africa Agriculture Development Programme (CAADP) is a product of the African Union’s New Partnership for Africa’s Development (NEPAD) and provides a common framework for accelerating long term agricultural development and growth among African countries. CAADP focuses on improving food security, nutrition, and increasing incomes in Africa through the promotion of an agricultural-led growth strategy. To do this, African governments have agreed, through the Maputo Declaration (made in Mozambique in 2003) to increase public investment in agriculture to a minimum of 10 per cent of their national budgets and to raise agricultural productivity by at least 6 percent per annum.

Objectives of CAADP:
CAADP’s goal is to eliminate hunger and reduce poverty through agriculture.

Role
CAADP brings together key players - at the continental, regional and national levels — to improve co-ordination, share knowledge, successes and failures, to encourage one another, and to promote joint and separate efforts to achieve the CAADP goals.

VISION:
CAADP envisions that by the end of 2015 Africa would:
• Attain food security (in terms of both availability and affordability and ensuring access of the poor to adequate food and nutrition);
• Improve the productivity of agriculture to attain an average annual growth rate of 6 percent, with particular attention to small-scale farmers, focusing on women;
• Have dynamic agricultural markets between nations and regions;
• Have integrated farmers into the market economy, including better access to markets, with Africa to become a net exporter of agricultural products;
• Achieve a more equitable distribution of wealth;
• Be a strategic player in agricultural science and technology development; and
• Practice environmentally sound production methods and have a culture of sustainable management of the natural resource base (including biological resources for food and agriculture) to avoid their degradation

How does CAADP inspire national agricultural strategies?

The AU, through NEPAD has been encouraging African countries to incorporate the CAADP objectives into their agricultural and rural development strategies. As part of the implementation process countries are subjected to an independent review process to ensure the goals of the CAADP and the needs of the country are both met.

The Pillars of CAADP

Key strategies for attaining these goals are outlined in the four CAADP Pillars:
- Extending the area under sustainable land management
- Improving rural infrastructure and trade-related capacities for market access.
- Increasing food supply and reducing hunger
- Agricultural research, technology dissemination and adoption

The CAADP Compact

This entails the processes that lead to the identification of priority areas for investment in the agricultural sector. CAADP compact is signed by all key partners such as government, development partners and civil society (including farmers’ organisations).

Progress made so far
Rwanda became the first country to sign the CAADP Compact in 2007. So far, 24 countries have signed the compact and incorporated it into their agricultural agenda.

These countries are: Benin, Burkina Faso, Burundi, Cape Verde, Côte d’Ivoire, Ethiopia, The Gambia, Ghana, Guinea, Guinea Bissau, Kenya, Liberia, Malawi, Mali, Niger, Nigeria, Rwanda, Senegal, Sierra Leone, Swaziland, Tanzania, Togo, Uganda and Zambia.

CAADP Framework Principles
The CAADP framework is based on the principles of partnerships, capacity building, coherence, organisational development, peer review, accountability, participation, inclusiveness and representation.

Although CAADP is continental in scope, it is realised through national efforts to promote growth in the agriculture sector and economic development.
• It is at the national level that CAADP becomes concrete.
• Each country is expected to implement CAADP in its own way;
• In doing this, each country is expected to use a common set of tools, such as pillar, frameworks and the country roundtable process.
• The country roundtables are where key players come together to assess the realities of their own particular situation and develop a road map for going forward.
• It’s a logical process that starts by engaging key players and determining entry points, then moves on to planning based on evidence and discussion, building alliances with investors at all levels, developing a country compact and, finally, advancing to implementation, monitoring and peer review.

CAADP places emphasis on the smallholder agricultural hence, requires national governments to make increase investment in smallholder farms.

Agricultural Policy of the Economic Community of West African States (ECOWAP)

What is ECOWAP?
Heads of States in West Africa adopted at their 19 January 2005 meeting the Agricultural Policy of the West African States, (ECOWAP), as an instrument for implementing CAADP. ECOWAP represents a West African version of the broader CAADP. It places emphasis on the centrality of family farms to achieving food security and increasing smallholder farmers’ income.

The ECOWAP is the framework of reference that provides the principles and objectives assigned to the agricultural sector and guides interventions in agricultural development in the region.

During 2005, ECOWAS and the NEPAD Secretariat developed a joint ECOWAP/CAADP action plan for the period 2005-2010 for the development of the agricultural sector.

Vision
ECOWAP envisions “a modern and sustainable agriculture, based on the effectiveness and efficiency of family farms and the promotion of agricultural enterprises through the involvement of the private sector. Productive and competitive in the intra-Community and International markets, it must ensure food security and remunerative incomes to its workers.”

Objectives of ECOWAP

Generally ECOWAP aims to: “contribute in a sustainable manner to satisfying the food needs of the population, to economic and social development and to poverty
reduction in Member States as well as to address inequalities between territories, areas, and countries.”

The specific objectives include:
(i) ensuring food security of the populations;
(ii) reducing food dependency in a perspective of food sovereignty;
(iii) integration of producers into markets;
(iv) creation of jobs that guarantee remunerative incomes to improve the living conditions of rural populations as well as the delivery of services in rural areas;
(v) sustainable intensification of production systems;
(vi) reducing vulnerability of West African economies by limiting factors that lead to regional instability and insecurity; and
(vii) adoption of appropriate funding mechanisms.

Policy Principle
ECOWAP affirms the principle of food sovereignty which involves a strong regional integration and an appropriate level of protection at the borders.

Factors Justifying the Existence of ECOWAP as a regional Framework for Intervention in Agricultural Development
• regionalisation of markets for agricultural and food products,
• the common trade policy,
• the existence of important shared natural resources by several Member States,
• common challenges facing national agricultures and their interdependence,
• the potential for mutual pooling of research capacities etc.

Implementation
The Implementation of ECOWAP is based on;
1. policy reforms in the areas of external and internal trade, taxation, investment codes, regulatory frameworks, industrial and monetary policies, information, etc.;
2. investment programmes (i.e. the implementation of investment programmes at the national level (National Agricultural Investment Plans (NAIP) as well as at the regional level.

NAIPs represent the visions, aspirations and priorities of Member States. As such, they constitute the referential framework for the programming of activities in the agricultural sector and the framework for coordinating international aid.

Mobilisation Programmes
The first mobilising programme is on the “Promotion of strategic products for food sovereignty”. It aims to support all regional initiatives and strategies for the development of agri-food value chains, in order to improve the incomes of the rural
population, reduce food dependency of the ECOWAS Member States and modernise production systems.

The second programme is on the “Promotion of an overall environment favourable to regional agricultural development.” It aims at helping to create a business, physical, informational and institutional environment conducive to a massive transformation of production systems and agricultural value chains in West Africa.

The third programme focuses on the “Reduction of food vulnerability and promotion of sustainable access to food.” Its overall objective is to help ensure the coverage of food needs of vulnerable populations and reduce the structural vulnerability of populations in rural as well as urban areas.

ECOWAP at the Local Level

Within the ECOWAP policy framework, national governments in the sub-region are required, through the NAIP, to make investment in smallholder agriculture and rural development. Thus, the NAIP is the conduit through which smallholder farmers can ‘feel’ ECOWAP in the communities.

Smallholder farmers are expected to be part of the policy formulation process so that the ECOWAP compact reflect their needs and concerns.

Economic Partnership Agreements (EPAs)

What are the EPAs?

EPAs represent a plan to create a Free Trade Area between the European Commission and the African, Caribbean and Pacific Group of States (ACP) countries. They are a response to continuing criticism that the non-reciprocal and discriminating preferential trade agreements offered by the EU are incompatible with WTO rules.

Objectives of EPAs

- To stimulate economic growth of ACP countries through the development of their competitiveness;
- To promote the development of each of the ACP sub-regions through regional integration and support their integration in the world economy;
- To establish a trade agreement in consonance with WTO regulations.
Key Elements

Reciprocity/non-discriminatory: a removal of all trade preferences which have been established between the EU and the ACP countries since 1975 as well as the progressive removal of trade barriers between the partners.

Regionalism: the ACP countries are encouraged to enter into the EPAs in regional groupings and these include:
- the Economic Community of West African States
- Economic and Monetary Committee of Central Africa
- the Southern African Development Community
- the East African Community
- the Eastern and Southern Africa (ESA)
- the Caribbean Community + Dominican Republic (CARIFORUM)
- the Pacific region.

Special Treatment: the EPAs will provide special arrangements for 40 out of the 79 ACP countries who are classified as LDCs by the UN.

Projected Effect on African Agriculture

- With the EPAs there would be a substantial change in the agricultural section of the Cotonou condition. For the EU, the free trade agreement would have to extend to agriculture. The liberalisation of the sector should involve an average of 90% of exchanges to be in conformity with the WTO regulations.

- It is not certain that the flexibility suggested by the European Commission would be enough to guarantee adequate protection for sensitive sectors of ACP countries. Furthermore, it is unclear how ACP countries can compete with imports from Europe, especially if the percentage of tax elimination is calculated at the regional level.

- The EPAs constitute a serious risk for agriculture and food security of ACP countries. ACP agriculturists would not be able to compete with their European counterparts. This is due to the difference in productivity and improved technologies. These facts suggest that European agricultural products are highly competitive as compared to those of ACP countries.

- The key concern emanates from the fact that majority of products exported to ACP countries, under liberalisation, would be products which compete directly with ACP lines of production which the local population consume (cereal, milk, meat, vegetables, processed goods).\(^6\)

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\(^6\) See the Agir campaign here “exportation of Poultry: France is ripping Africa off, October 2004
Unit 6: Multilateral and Bilateral Actors and their Influence on Agricultural Policies

Objective:
Participants should be able to understand that there are institutions existing within/without the African continent whose activities affect African Agricultural policies.

Who are multilateral and Bilateral Actors?

At the global level multilateral actors provide core contributions to UN, IFIs, EU, Global multi-donor trust funds, Global Funds/Vertical Funds. At country level, they act through Balance of Payment Support (e.g. International Monetary Fund), Projects and other activities supported through core contributions/unearmarked funds, projects, SWAPs, vertical Funds, Nasket Funds, Multi-donor trust funds.

On other hand, bilateral actors at the global level provide Vertical Funds/Global Funds (e.g. Global Alliance for Vaccines and Immunisation (GAVI) although this can be managed by multilateral agencies as well. At the country level, bilateral actors act through General Budget Support Projects, SWAPs, Sector Budget Support, Debt relief, Balance of Payment support, Vertical Funds, Basket Funds, and Multi-donor trust funds.

Examples of bilateral Actors in Africa include Belgium, Canada, China, France, Germany, Japan, Norway, Sweden, the UK, and USA. The multilateral actors in Africa are the World Bank, the European Union, UN agencies (e.g. UNDP, UNHCR, UNICEF, OCHA and UNIFEM) and the African Development Bank (AfDB).

How Multilateral and Bilateral Actors influence Africa Agriculture

- Food export;
- Foreign aid (both short-term food aid and long-term development assistance);
- Trade and investment relationships;
- Insistence of participatory approaches to policy making.

Donor Consensus on the new agriculture agenda for Africa focuses on five main issues:

1. Aid effectiveness: targeting and delivering aid more effectively with greater emphasis on food production, food security and smallholder agricultural and rural development.

2. Market and private sector-led agricultural growth: there is broad agreement among most donors that agricultural growth must be market-led with a smaller role
for the public sector and new public-private partnerships. They call for a productivity revolution, (New Green Revolution for Africa’) with the need for more research and development, specifically in science, technology and innovation.

3. Exiting agriculture: this is a dominant theme that not only includes propositions about farmers leaving the land, safety nets, and whether such aid should be provided in cash, as food aid or via voucher schemes, but also the future for farmers, smallholder agriculture and rural-urban development. In the latter category it includes preventive measures such as the increased recognition of the social role of small farms and the central role of women in agriculture; increased investments in human capital; the provision of assistance to small-scale farmers’ groups in accessing markets; opportunities for diversification through, for example, high-value agriculture.

4. Improved governance and political processes: good governance evolves with economic progress, it is claimed, and donors therefore propose greater emphasis to be put on small, but targeted and strategic, improvements in governance rather than on wholesale governance reform.

5. African ownership: Africa taking the lead in its own development is an important component of the donors’ discourse on rural development and agriculture. More specifically, Africa must lead partnerships between sub-Saharan African countries and donors, and take responsibility for problems and ownership of solutions, compliant with donors’ priorities.

The L’Aquila Food Security Initiative by the G8 represents substantial re-investment in agriculture and food security intended to tackle global hunger.

CIDA- the case of a bilateral actor in Africa (positive effectives)
- Adopted food security strategy;
- Pledged to double Canada’s foreign aid;
- Targeted smallholder farmers in the poorest countries.

Negative Effects
- Exports from bilateral can undermine local producers and their markets;
- Trade and investment policies can also undermine African food security, e.g. while CIDA-led food security strategy aims to improve the viability of smallholder farming in developing countries, the government of Canada advances policies in multilateral and bilateral trade negotiations such as the rapid reduction in agricultural tariffs that could undercut the viability of smallholder farmers.
Unit 7: The roles of farmers in policymaking

Objectives:
By the end of the session participants should:

- Know the roles expected of farmers or that can be played by farmers organisations in the policy arena
- Appreciate the need for farmers to have strong voices and representations

Participatory approach to public policy making aims to rely on extensive consultation with all stakeholders, particularly end-users. The days when public institutions thought that policy making was their sole domain are long gone. Multi-stakeholder approach to policy making ensures ownership and demand driven processes. Thus, the process of policy making does not fall within the domain of a single institution. To this end, farmers, as end-users of agricultural policy, have to proactively claim their place in the policy arena in addition to consultation processes that might be engineered by government officials. Whichever way farmers are involved in the policy formulation process; their roles are more effectively performed through Farmers’ Organisations.

Roles of Farmers’ Organisations in Policy-Making

**Agenda setting:** since there are hundreds of issues (problem) requiring policy interventions in the agricultural sector, farmers, as the key agents affected by such policies are better placed to propose priorities for policy consideration. This should be done proactively by farmers and farmers’ organisations through research, campaigns and mobilisation.

**Policy Formulation:** farmers who have interest in a policy subject can play an active role during policy formulation by proposing, advocating and refining options.

**Evidence based policy intervention:** farmers’ organisations should have strong evidence-based policy analysis and development capacities, including collecting relevant qualitative and quantitative information to elaborate sound policy positions and proposals.

**Advocacy:** farmers’ organisations should be able to strategise their advocacy by identifying the objectives of the advocacy, possible alliances, targets, and most appropriate and cost-effective means to implement the strategy. Then it needs to be able to concretely engage in policy dialogue.

**Pro-activeness:** farmers’ organisations should analyse situations in advance and engage spontaneously in the policy dialogue instead of being reactive. It should also make farmers’ voice heard through targeted campaigns.
**Awareness raising:** farmers’ organisations should raise awareness about issues at stake to their members. This will enable farmers to better express their needs and aspirations to make a convincing case for policy change.

**Mobilisation of support:** networks of farmers can rally farmers to demand policy change and also help farmers to organise themselves.

**Promotion of direct participation:** Networks of farmers have become very active in the promoting of the direct participation of farmers’ organisations in the formulation of agricultural policies. The issue is to ensure that representatives of poor rural people are at the table.

**Policy alternatives:** farmers can offer policy alternatives. However, they will need the assistance of farmers’ organisations in the form of expert advice and methodologies for drafting policies. In effect, farmers can develop strategies to influence national agricultural policies.

**A more effective participation for farmers’ organisations in the future**

The participation of farmers and Farmer Organisations in policy formulation processes should be progressive and should rely on successful consultation at all levels, from grass-roots members to policymakers.

It should include activities in:

- Awareness-raising among policymakers on the advantages of opening up negotiations to Farmer Organisations.
- Mobilisation of Farmer Organisations to share their ideas through consultations and agree on common proposals;
- Field studies to better understand the role of small-scale farming and opportunities offered by regional integration;
- Involvement of experts to strengthen the credibility and negotiation skills of farmers and their representatives;
- Participation of Farmer Organisations in official meetings and organisation of media and communication campaigns to elicit public opinion;
- Development of Farmer Organisations capacity;
- Improved communication and information-sharing.
If a new law or policy is being proposed for your community/district/region/province/country, here are some things to look out for:

1. Who benefits from this policy or law?
2. Who loses?
3. How does this policy/law affect women?
4. How does it affect other vulnerable or marginalized groups?
5. What will be the consequences, five years from now, if this policy/law is implemented?
6. Will ordinary people understand this policy/law?
7. Who is proposing this policy/law, and why?
8. How did this issue come to the notice of legislators?
9. How much will it cost to implement this policy/law?
10. Can this policy/law be enforced? If so, by whom and how?
11. What will be the penalty if you don’t comply with this policy/law?
12. Is the policy/law consistent with the Bill of Rights and the South African Constitution?

If you are unhappy with the answers to some of these questions, you may want to mount an advocacy campaign.

Adapted from Training for Transformation, Book IV, by Sally Timmel and Anne Hope
SESSION 2

MODULE: THE POLITICS OF AGRICULTURE

A knowledge-building session designed to provide an overview of the global and African architecture of agricultural, rural development and food security programmes and policies.

Purpose
To deepen understanding of how global and pan-African, sub-regional policies have an impact on the local practice of smallholder agriculture.

Objectives of the Module:
• Improve knowledge on current trends in agricultural policy making.
• Establish common issues currently affecting smallholders within the participating countries; and
• Nurture critical thinking amongst the participants.

Structure
The Lecture has been divided into small topics, and at the end of each topic participants will be invited to share experiences and ask questions.

Facilitators'/Trainers’ Note:
• Situate the challenges of small-holder agriculture within the broader context of global commodity chains.
• It is important that participants understand how the local is linked to the global.
• Be aware that participants are coming from different regions/countries and experiences—hence find examples that resonate with represented countries.
• Make references to current trends and policies (try to avoid historical trends).
• This module should lead towards establishing common ground with regards to broader frameworks of policies and their impact.

Target Group:
The course is designed for small-holder organizations who have need to mobilize as a unit to identify and address pressing issues in agriculture at the community, national and continental levels.

Methodology:
The module will be delivered as a semi-lecture, but also encouraging participation through experience sharing and questions.

Materials/resources:
Power point slides—to be included in the training manual
Key Readings—to be circulated prior to training
Lecture Notes in MS Word—part of the training manual
Duration: 2hrs
Introduction

Africa is largely agrarian, approximately 70% of population is based in rural areas. Varying levels of:

- technological innovation
- integration into the global commodity chains (unfair insertion)
- under-investment in the sector

An agricultural revolution has not yet taken place.

Smallholder systems remain very rudimentary depending on human labour (especially female), hand held hoes, untreated seeds, etc.

Sector is dominated by smallholders with landholdings ranging from 8-0.2 ha.

New and old land questions persist.

Smallholders have either declined in productivity or remained stagnant except in export products (in the past 2 decades)

Various causes for this collapse but prime among them include:

- inadequate government support to smallholders,
  - (been ignored for 25 years)
- weak penetration and uptake of technological innovations,
- limited use of scientifically treated hybrid seeds and
- Insecure land tenure systems that continue to marginalise smallholders (especially women)
- Limited access to inputs and commodity markets

Context

Globally the number of the food insecure is growing, latest estimates indicate that approximately 1bn (and increasing) people are food insecure (Action Aid 2010)

- Food crisis (2007/8) was in large part the result of structural imbalances in the world food chain: (i) production, (ii) exchange and (iii) consumption

Economic Reforms and Agriculture

Balance of Payment (BOP) challenges for many newly independent African countries in the late 1970s into the 1980s.

IMF/WB encouraged the adoption of SAPs which entailed:

- deregulation of national currencies and prices
- privatisation of parastatals (ADMARC in Malawi) and extension services
- removal of subsidies into agriculture
- introduction of user fees at schools and clinics
Overall effect: withdrawal of the state from the development project and enter the NGOs.

Agriculture suffered the most:
- countries were advised to unilaterally withdraw all support,
- implement titling and commodification of agricultural land
- focus on exports-comparative advantage
- accelerated insertion into global commodity markets and also further opening up of domestic economies

Led to conversion of land use patterns:
- focus on exports to service already saturated world commodity markets
- in 2004 US and EU produced 17%; Canada, Aus, NZ, 15%; Bra, Arg, Chile & Uruguay, 13%; total of 62% of the world’s agro-exports
- large-scale nature of production led to a 60% decline in prices of maize, rice and wheat.
- emergence of new activities, eco-tourism, ostrich farming, etc.

Implications of Trends
Possible domination of agric trend by the industrialised countries (grain & livestock exports from these countries are expected to double by 2020).

Increasing unattractiveness of smallholder agriculture “de-peasantisation of Africa’s countryside”.

Congestion in the city despite decrease in formal sector job (ghettoised urbanisation).

Land Question
Tropical Africa may not share Southern Africa’s settler colonialism BUT has undergone colonial and post-colonial integration into commodity production, leading to emergence of land questions. Common land problems include:
- insecurity of tenure
- land fragmentation
- land dispossession & concentration
- undemocratic patriarchal systems of local government
- women’s access to land remains tenuous

New Land Questions
Beginning in the late 1990s Africa has come under siege from ‘land grabs’ or a ‘new scramble for Africa’ or new forms of ‘colonialism’ or ‘agrarian colonialism’ (Bimey 2009).

IFPRI estimates that land deals worth between US$20-$30 bn and involving between 15-20m ha of farmland in poor countries in Africa (& also Cambodia, Pakistan and the Philippines).
A total of 2,492,684 hectares of land have been allocated since 2004 to foreign investors in Mali, Ghana, Madagascar, Sudan and Ethiopia (IIED). These investments are characterized by the demand for huge tracts of land; for instance, one investor in Mali was allocated 100,000 hectares of land for an irrigation project.

**Actors Behind New Forms of Colonialism**

Oil producing countries such as Saudi Arabia, Bahrain, Oman, and Qatar (which control 45% of the world’s oil) have entered into global food markets through land grabs in Africa to secure food supplies for their own populations.

African countries such as Egypt and South Africa are also key players—seeking new farming land as a response to threats of food insecurity and to accommodate mostly minority large-scale commercial farmers.

**L’Aquila Food Security Initiative (AFSI)**

G8 Heads of State recognised the:

- longstanding underinvestment in agriculture and food security
- price trends of food combined with the economic crisis have led to increased hunger and poverty in developing countries,
- more than a further 100m in extreme poverty (and the number of people living in hunger now exceeds 1bn)
- negative effects on prospects of meeting the MDGs

Committed to invest US$200 million over 3 years to encourage rural development of poor countries.


Objective: to improve food security and incomes in low-income countries through assistance to agriculture.

The fund provides support to country-led initiatives.

FAO: supporting the preparation of country-led investments strategies and plan in the context of the CAADP.

The fund provides both public and private sector financing in the form of grants, loans and equity investments.

The Fund supports Programmes/Initiatives that:

- Link farmers to markets
- Reduce risk and vulnerability
- Improve non-farm rural livelihoods
- Provide technical assistance and capacity development
Maputo Declaration
2003: 53 African heads of states signed the Maputo Declaration and agreed to:
- make agriculture a top priority in national development
- increase public investment in agriculture by a minimum of 10% of their national budgets
- improve the productivity of agriculture and aim to attain an average annual growth rate of 6%
- devote particular attention to small-scale farmers, especially women

Comprehensive African Agriculture Development Programme (CAADP)
Maputo Declaration led to the establishment of the CAADP, which aims to:
- help African countries reach a higher path of economic growth through agriculturally led development,
- eliminate hunger, reduce poverty and food insecurity
- enable expansion of exports

CAADP set specific targets for achievement by the year 2015:
- Improve the productivity of agriculture to attain an average annual growth rate of 6%
- Devote attention to small-scale farmers, especially focusing on women;
- Establish dynamic agricultural markets within countries and between regions;
- Integrate farmers into the market economy and improve access to markets;
- Achieve a more equitable distribution of wealth

CAADP has developed separate strategies (pillars of action) to respond to the challenges:
- **Pillar One**: extending the area under sustainable land management
- **Pillar Two**: improving rural infrastructure and trade-related capacities
- **Pillar Three**: increasing food supply and reducing hunger by raising smallholder productivity and improving responses to food emergencies
- **Pillar Four**: improving agricultural research, technology dissemination and adoption

CAADP to be implemented at country level through the domestication of the AU protocol on agriculture.

Countries have in the past 3 years been developing strategies for the development of agriculture with technical assistance from the FAO and CAADP secretariat.

After internal consultations with civil society and the private sector, countries sign CAADP Compacts and these are used to mobilise for resources.

As of end of December 2010, 39 countries had signed the CAADP compact.

Countries that have completed the compacts are receiving support from the Global Partnership on Agriculture and Food Security.
TrustAfrica – IDEG

Only Malawi and Rwanda have met the commitment of increasing agricultural expenditure to 10%.

Pillar 1: Resources have been acquired from the Norwegian government to train farmers in conservation farming.

Critique of CAADP & L'Aquila (G8 Initiative)
- Both correctly identify the infrastructure and market challenge, but CAADP & L'Aquila raise more challenges than prospects for growth
- Framed within the ‘catch-up’ mentality, where Africa’s lack of progress is basically viewed as due to late development
- Adopt a modernisation approach albeit with a human face (refer to Pillar 3 of CAADP)
- Even though there is a renewed focused on smallholders, only Pillar 3 makes a clear focus on the chronically food insecure and emphasises the need for improved domestic production
- Inadequate analysis as to why vulnerable households exist. What are the processes that explain rural differentiation?
- Dwell on the ‘soft issues’ of agrarian reform at the expense of the ‘hard’ and political structural issues such as land reform (especially in Southern Africa)
- Challenges around insecure forms of access to land and water are not raised
- CAADP deals with the more technical aspects of agriculture and avoids the political and social relations of production mediated by local government institutions (including chiefs)
- unfair agrarian labour relations are ignored
- uncritically embraces the logic of commodity markets, despite the obvious unfairness of the global commodity chains

Alliance for the Green Revolution in Africa (AGRA)-the Origins

Paper detailed Africa’s agricultural and poverty challenge as caused by:
- being primarily one of low yielding seed varieties
- inadequate access to better inputs and practices,
- rudimentary extension systems and weak off-farm infrastructure, such as roads and markets
- decreasing agriculture incomes and weak markets

2006: Rockefeller Foundation enters into an agreement with Bill & Melinda Gates Foundation to establish the Alliance for a Green Revolution in Africa (AGRA).

Rockefeller with an initial capital base of US$100million (single largest private investment in agriculture).
AGRA is registered as a public charity aimed at reducing hunger and poverty in Africa through agriculture.

AGRA is presented as a response to the calls made by African leaders (in the 2003 and 2006 AU Maputo & Abuja summits) to promote smallholder farmers to prosper.

It also responds to and endorses the African Union’s (AU) CAADP.

In 2007 AGRA appointed Kofi Annan as its’ Board Chairman.

Two offices established in Africa: Nairobi and Accra.


3 programme areas with a projected cost of USD$200m each have been identified and seek to:

(i) improve currently available seed varieties,
(ii) strengthen soil and water management techniques, and
(iii) develop stronger off-farm systems and markets from storage to transportation

AGRA has been focusing on Programme Area 1: to improve currently available seed varieties.

Goals: to have introduced “more than 1,000 new seed varieties of at least 10 staple crops” within 10 years.

Ensure that participating small-scale farmers use the new varieties on at least 20-30% of their cultivated lands.

4 interrelated sub programmes:

(i) Education for African Crop Improvement (EACI),
(ii) Fund for the Improvement and Adoption of African Crops (FIACC),
(iii) Seed Production for African Initiative (SEPA), and
(iv) Agro-Dealer Development Programme (ADP).

Civil Society and Food Sovereignty
Civil Society Organisations (inclusive of NGOs and social movements) gathered at Nyeleni in Mali agreed on the need for a new framework towards eradicating hunger and passed what is now commonly referred to as the Nyeleni declaration of 2007 for food sovereignty.

Some of the demands made include the need:

- To urgently prioritise local agricultural production in order to feed people,
- For improved and secure access to water, seed and credit by the smallholders,
For comprehensive land reforms that ensure land goes to the tiller and the safeguarding of water and other natural resources as public goods.

Nyeleni declaration opposed to the nature of land investments taking place across Africa and it challenges the framework behind the CAADP:

- Where CAADP calls for an accelerated integration with commodity chains, the food-sovereignty approach emphasises enhancing local food production for local consumption at fair prices.
- Where CAADP and the SADC speak about land-policy reforms, the food-sovereignty approach boldly calls for pro-poor land reforms.
- Where CAADP calls for increased use of fertilisers, the food-sovereignty approach demands environmentally friendly land-use patterns.

Assessing the Capacities of CSOs for Policy Engagement

Urgent need to emphasise the need for a stronger advocacy network representing smallholders.

To date the impact of COS on influencing national agricultural policies remains limited due to a number of constraints, but most have to do with the fragmented approach to engaging their governments.

Most of these organisations do not have adequate capacities to effectively respond to government policies and programs.

Whilst others (Fukuyama) speak of the end of history, we have seen the increase of inequality and also global mobilisation against neo-liberalism.

Globally social movements, operating under the rubric of the World Social Forum, have animated the possibilities of imagining alternatives under the banner; ‘another world is possible’.

Social movements with potential to operate outside the framework of the market have emerged and include: Landless People’s Movement, LAMOSA, La Via Campesina and the Land Movement in Zimbabwe under the leadership of the war veterans.

Mobilisations against large-scale land investments (e.g., against attempts by SCOUL to clear 7,100 ha of Mabira forest) and Night Harvesters of Ghana.

Civil Society and Agricultural Policies

The CAADP process has made a provision for civil society participation in the design of the Country Strategy (Compact).

AGRA claims to have an ‘open and participatory’ policy (AGRA, FAQ, 2007: 2), although its origins lie in the Rockefeller White Paper on Agriculture.
Both interventions prefer to use private sector and university-based consultants with minimal tangible input from civil society.

There is currently very little evidence of consultation between the policymakers and the supposed beneficiaries: the smallholders.

References


BLOCK TWO

PUBLIC DELIBERATION AND ADVOCACY
SESSION 1

MODULE: PUBLIC DELIBERATION AND DIALOGUE FOR SMALL HOLDER ORGANISATIONS

A skills and knowledge building session designed to deepen understanding of the roles of farmer organizations as civic actors in public policy processes.

Objectives of the Module:
• Introduce participants to deliberative techniques
• Apply the techniques of public deliberation to mobilization among farmer group
• Introduce steps to collective action among farmer groups and dialogue with officials

Facilitators'/Trainers’ Note:
✓ Situate the challenges and actions of small holder organizations within the broader context of public policy and decision making
✓ It is important that participants from farmer organizations understand the key elements of citizens engagement at various levels- community, national, continental levels.
✓ Participants may be from different countries. Note that political environment may vary from country to country and this determines the degree of civic engagement.
✓ Make references to various country/community experiences of farmer organizations
✓ This module should promote shared learning; Encourage participants to share experiences and examples
✓ Communicate in clear language, regulate the speed, while using various activities and media... as well as some humour
✓ Use energizers to break monotony in sessions

Target Group:
The course is designed for small holder organizations who have need to mobilize as a unit to identify and address pressing issues in agriculture at the community, national and continental levels.

Methodology:
The module employs exploratory and experiential approaches to generate knowledge and upgrade skills of participants. Facilitators will highlight learning questions that help to provoke a participant-led learning experience. Most of the learning will occur through experience sharing, create space for this to occur.

Materials/resources:
Flip charts and markers; screens; strips of paper, newspaper clippings
Duration: 4hr
Activities:
• Group Work
• Role Play

Summary Notes
Further reading and references
OVERVIEW

In Africa, like in many parts of the world, agriculture is the bedrock of most economies and ensures the welfare of many African families whether as producers or buyers. The small holder agriculture model particularly tends to form the core of household occupation, however conversations and policy decisions around this form of agriculture do not form the core of high level agricultural decisions. Perhaps the question is how are the issues of agriculture identified? Who comes to the table to talk, how are decisions made and implemented?

For the most part, the talk does not include small holder farmers, certainly not in critical global forums. The assumption is that they are represented by umbrella organizations. But these have their challenges too; for instance what meaningful methods are used to engage small holder groups prior to major continental meetings? Whose issues are (re)presented in international fora, how are decisions relayed to small holder groups and communities?, what role do they play in implementation?. These raise the critical issue of interface between farmer groups and officials towards the end of influencing agricultural policies including budgets. The Abuja Declaration of 2006, observed the need to link smallholder farmers to commercial opportunities if the ideals of the African Green Revolution is to be realized. This obviously calls for the inclusion of the small holders in discussions around agriculture, that enables them to express needs and identify opportunities.

The exclusion of citizens’ from agricultural policies around the continent is even more critical particularly among women who form the majority of African population and many of whom studies have shown, are into farming\(^7\). The inability to contribute to policy making could imply their needs are not adequately included and addressed. Similarly, the failure to generate policies that are gender sensitive could have dire consequences for years.

Clearly there is need for citizens to talk among themselves and determine as individuals and as a collective how to contribute to national development. But People do not always know how to mobilize and talk in a structured and constructive way. They sometimes do not have a full understanding of the entry points for policy engagement thereby limiting the extent to which they could influence policy. Further, when citizens talk, key voices particularly women and voices of other marginalized groups are often left out.

The module on public deliberation and dialogue for small holder farmers seeks to introduce participants to techniques of mobilizing farmer organizations and their members to identify key or pressing issues in agriculture, deliberative over these and take collective action. Additionally, the module introduces participants to means of

\(^7\) State of the Union Continental Report 2010 at www.stateoftheunionafrica.net
engaging officials in order to have their needs addressed through constructive and mutually beneficial dialogues.

“We deliberate in our personal and public life when we have to make a decision on matters that are very important to us and when there are competing approaches to solving a problem and when there is not any authority that can tell us exactly what to do.” (A Guide To Frame Issues In Public Terms, Kettering Foundation, www.kettering.org)
Unit 1: Introduction to deliberative democracy/politics

Objective: Share thoughts on deliberative politics; highlight the role of citizens’ groups in a democracy

In a democracy, the voice of the citizen is deemed critical in shaping decisions of the State. Deliberative democracy serves as that form of governance that provides opportunity for all to share and gain perspectives on a given issues. Deliberative democracy underscores the fact that citizens form the core of a democracy. Claus Offe in his article Micro –aspects of democratic theory: What makes for the deliberative competence of citizens? observes that “the basic unit of democratic political process is the citizen”. For this reason it is important that citizens’ groups know how to behave in a democracy.

Deliberative democracy therefore makes the citizens central to development. Gutman and Thompson(2004) define deliberative democracy as “a form of government in which free and equal citizens (and their representatives), justify decisions in a process in which they give one another reasons that are mutually acceptable and generally accessible, with the aim of reaching conclusions that are binding in the present on all citizens but open to challenge in the future”. By this, deliberative democracy offers citizens space to share their opinions, and offers channels through which collective decisions could be made and action taken by all.

It is important to note that we ‘deliberate’ because there are choices to be made in life. Resources are not unlimited therefore we ought to decide where to put our resources of time, human, financial resources etc. It is further important to note that deliberation occurs all the time- at the home, community etc.

(Pause and Reflect: Together with participants, reflect and explain the characteristics of deliberation below.)

Choice work, the process of working through available options, therefore forms the core of deliberation. It underscores the freedom for all human beings to choose factors that govern their lives including “freedom from servitude”. For smallholders like other groups, this incorporates various components of political freedom – rule of law, personal security, freedom of expression, political participation, equality of opportunities, etc. These form part of the core values of economic/human development and are crucial to rural smallholders in particular.

But in order to make effective choices, we need to have a number of options to choose from- approaches to solving the issue at stake. These approaches represent the various ways in which different persons or groups may want to address the issue. The process of presenting the issue with various options to solving it, the advantages and disadvantages of each option as well as the trade-offs is called framing the issue.
Activity: Discussions
Format: Plenary

N.B. Use overview above or an article extract as basis for presentation

Learning Questions
What is deliberative democracy?
What is the role of citizen groups in a democracy?
How do farmer groups participate in decision making?
How different is this from other forms of governance?

Further reading:
1. Offe C. Micro-aspects of democratic theory: What makes for the deliberative competence of citizens?

Unit 2: Issues Identification

Objective: Introduce participatory issues identification process to solving agricultural problems at the local, national and international levels.

In deliberative politics, citizens or members of a community can come together to determine an issue of concern to them. The process of arriving at the issue that concern that is not so easy to resolve is issue identification.

Learning questions:
What are the key agricultural issues?
Who determines these issues?
How are they determined?
Who addresses these issues?

Activity: Identifying an agricultural issue
Format: Plenary

Guided by the learning questions above, agree to identify the most pressing agricultural issue
Explain the complexities involved in choosing an agricultural issue
Explain the need for a participatory issue identification process
List several agricultural issues on a flip chart

Key Question: What is the issue of concern in agriculture?
Unit 3: Naming and framing agricultural issues in public terms;
Objective: Introduce participants to an issue-framing process

Activity 1: Naming and framing process (1hr)
Format: Plenary
- Using the list of concerns mentioned in session 2, take participants through naming and framing process
- Refer to steps below

Activity 2: Framing agricultural issues
Format: Group work
Use newspaper articles from different countries

Analysing
- How has the issue been framed?
- Which perspectives are presented in the article?
- Whose perspectives are presented?
- What are the decisions made?
- Are decisions beneficial to small holder groups?

Applying
- When issues are framed in public terms, they resonate with stakeholders;
- A well-framed issue presents various options to solving the problem;
- For each of the options, the advantages and disadvantages as well as the ‘trade-offs’ are presented
- A well-framed issue attract people to come together to deliberate on the issue
- A well-framed issue is the link between an issue and its solution

Key concepts:
- **Public deliberation** is the way we go about deciding how to act in order to solve an issue. In public deliberation we weigh together the costs and benefits and consequences of various approaches to solving a problem in order to make a sound and informed decision

- **Naming and framing an issue in public terms**: when an issue is framed in public terms, that issue presents the issue in ways that citizens care and talk about the issue. This contrasts an issue named and framed in 'expert terms'.

- **Common ground** is the point at which citizens in a deliberative forum arrive at a decision on which they all agree to act. It is similar to consensus-building

- **Trade-off** in a deliberative process, is the consequences of choosing a particular approach or action. This is the ‘price’ we pay for choosing one approach over the other. It is important that citizens consider the trade-offs as they weigh various options.
FRAMING AN AGRICULTURAL ISSUE IN PUBLIC TERMS

1. Identify or choose a public issue to be framed: the agricultural issue must be complex with no easy technical solutions it must affect many people and has more than one solution
2. Do an initial research: do some personal research to get a sense of the different concerns and ideas that the community has on this issue. These could include ‘face to face’ questions, reviewing newspaper reports and other forms of literature
3. Identify people’s concern: Together with your team, list people’s concerns about the issue
4. Group like concerns and perspectives: the underlying principle in each concern should help categorize or group the concerns and describe what the problem is in each group/cluster
5. Bring the problem into focus: this helps you to agree on the real problem at stake by reviewing the descriptions above and agreeing on the thread that runs through them
6. Recognize the tensions among the approaches: Each of the clusters and description should present a unique approach to solving the problem. The approaches must not be opposites of each other; they must present different values and interests of citizens and must be persuasive
7. Outline the benefits and drawbacks of each approach: this helps to see the tensions within the approaches, makes them distinct and helps citizens to weigh clear options
8. List the trade-off: For each approach, list what you are likely to lose should you choose that perspective
9. List actions: the essence of public deliberation is collective action. For each approach list the action required to solve the identified problem
10. Test the framework: review your description for each cluster and fine tune to be sure they are distinct. Test your framework against the characteristics of a well-framed issue.

The Test for a Well Framed Issue

A well-framed issue is …

- a complex problem, not easy to find solutions
- well researched and based on people’s real concerns and experiences
- presented in language that all stakeholders understand
- named in public terms therefore it is not in a technical and expert language
- Presents clear and distinct approaches to solving the problem
- offers approaches that people can relate to or can support portions of it
- includes trade-offs to be considered so that participants know the consequences of each option
- not a framework in which one approach is the opposite of the other, or compromise between the other two
- able to create a sense of responsibility among individuals rather than depending on governments
Unit 4: Convening and moderating deliberative forums for small holder organisations

Objective: Create space for participants to experience deliberation in action through a public forum and to practice moderating and recording skills.

Public deliberation requires that citizens come together (convene) to identify a pressing issue, frame that issue in public terms and deliberate on the issue with the aim of arriving at a decision or building consensus for collective action.

Forums are key to citizens’ engagement of any kind. It is a means of coming together in various ways to determine a course of action. In public deliberation

**Activity: Mock Forum (experiencing a public/citizens’ forum) (1hr)**

**Format:** Plenary (not more than 30 participants)

- Use the issue that may have been framed in session 3. Alternatively use samples below
- Select moderator(s) and recorder(s) for the forum
- Use activity to explore skills in moderating and recording
- Possible Issue: The Challenges of Agriculture in a Democracy: What can be done differently?

<table>
<thead>
<tr>
<th>Facilitators’ Notes: Steps to conducting a deliberative forum</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Introduction: Present the Issue at stake</td>
</tr>
<tr>
<td>2. Personal Stakes: Allow participants to share their personal stories regarding the issue</td>
</tr>
<tr>
<td>3. Options: Present each approach/perspective to solving the issue</td>
</tr>
<tr>
<td>4. Deliberation: Weigh each approach-the advantages, disadvantages, trade-offs</td>
</tr>
<tr>
<td>5. Consensus-Building: Pull the ideas together and find a common ground for action</td>
</tr>
<tr>
<td>6. Reflections: Allow time for participants to do individual and group reflections on how their views on the issue may have shifted during the forum</td>
</tr>
<tr>
<td>7. Close: Bring the Forum to a close, thank participants</td>
</tr>
</tbody>
</table>

**Key concepts**

- Community
- Citizens
- Public

In public deliberation, a community is not limited to persons living within a defined boundary and who share similar culture. In public deliberation a community is formed by a group or citizens concerned about a given problem. These citizens, form a public around the issue. The community or public is therefore bound by that issue.

Further reading: Communities at work, Charles Kettering Foundation [www.kettering.org](http://www.kettering.org)
Unit 5: From Deliberation to Action

Objective: Demonstrate a shift from talk to action

One of the distinguishing characteristics of public deliberation compared to other participatory processes is it makes it imperative for participants to move from the ‘talk to action’. Several citizens’ processes end with the talk thereby discouraging citizens from engaging in subsequent processes. Initiatives are not sustained. Public deliberation requires that participants build consensus, agree on some action steps and take collective action. It requires that individuals within a group take up roles in solving the problem.

Activity: Role Play (1hr)
Experiencing: Farmer groups in Action
Format: Group work
- Divide participants into groups of not more than 10
- Use the decision/ outcome of the mock forum in session 4 or Create a national/continental agricultural problem that requires a solution or have participants generate the problem)
- Write various roles/positions of members in a community or nation on pieces of paper
- Each group gets a set of roles
- Members of the group pick one role and plays it out
- Each group selects a moderator and a recorder

Important: Practice moderating and recording skills in a public forum

Possible Scenario:

The Global price of a major agricultural produce has gone down. Your government in its economic policy statement announces a reduction in producer prices of this key crop. This will render farmer produce even more worthless. How does your organization/community mobilize to address this issue?

Processing and Analysing
- How did the community/organisation mobilise?
- How did your community agree on the most pressing issue
- How did your community solve the problem?

Applying
- It is important that communities, citizens go through an issue identification process to determine the real pressing issues
- It is only when all players agree on the nature of the issue that they will be prepared to act on it
People will remain passive when they do not realise their concerns in the way an issue is presented or framed.

It is important that all views are represented and respected to avoid disaffected groups.

The actions of disaffected groups could undermine policies and threaten national cohesion.

The Moderator

The moderator is considered the link between an issue and a successful public forum. The moderator is that person who steers the conversation in a forum. In public deliberation the moderator is expected to play the following roles:

- Introduce the issue in the forum
- Invite people’s personal connection or stories related to the issue
- Present the options available to solving the issue
- Lead participants to explore and weigh and discuss various perspectives
- Probe the issue and perspectives presented more deeply
- Steer the conversation to clear conclusions and outcomes
- Encourage participants to reflect on the issue- how their views may have shifted after the forum

A GOOD MODERATOR MUST:

- Remain Neutral
- Encourage deliberation but be ‘invisible’
- Encourage all participants to speak
- Promote gender-sensitive deliberation
- Keep track of time

The Recorder

Public deliberation encourages the use of a recorder during deliberations. The recorder is that person who documents or simply writes down thoughts/perspectives as the conversation proceeds in a deliberative forum. The recorded notes are important for a number of reasons. It serves as a source of documentation for future references. For small holder groups such documentation could aid the advocacy efforts that follow their deliberations in terms of tracking decision points. Also for persons or groups which may not have been at a forum, the recorded notes become useful.

Note: Recording is not ‘minute-taking’. In public deliberation, recording captures ‘citizens voices’.
Networking and coalition building
Networking and coalition building are parts and parcel of public deliberation. Networking, the process of joining or linking up with others to share or pursue a course could come before or after public deliberation. Both ways it helps citizens to join hands in the pursuit of a agreed action collectively (Refer to networking and coalition building opportunities that may have emerged in the role play above)

Challenges to mobilizing, networking and coalition-building
Citizens’ mobilization is not without challenges. Participants may consider the following and add to the list.

- Citizens do not always stick to the course
- People have different ‘agenda’
- Conflict between leadership and members
- An eroding sense of citizens’ volunteerism
- Challenge of sustaining efforts

Pause and reflect:
How have small holder groups networked in the last decade?
What has been the outcome of these activities?
Have there been challenges? How were these challenges addressed?

‘You have to build partnerships; partnerships between scientists, between policymakers, between traders and farmers, so that at each stage people identify the roles they have to play along the entire chain from production to the market’.
—Professor Uzo Mokwunye, former Director, UNU-INRA (UN University Institute for Natural Resources in Africa)
Unit 6: Citizens/Officials Interface (A dialogue)

Objectives: Reflect on skills and knowledge required to engage officials on agricultural policies as well as the responsiveness of officials.

Citizens/Officials interaction assume different forms and shapes from place to place. In developing countries, like many other countries, citizens-officials relationship is often characterized by suspicion and mutual distrust. Officials tend to see citizens groups as a group of ill-informed persons out to ‘make trouble’ while citizens on their part see officials as ‘power-wielding’ persons with total disregard for citizens’ interest.

But engagement with officials is paramount not only because citizens have the right to influence policy and participate in economic development but in many developing countries, ordinary citizens such as small farmer groups may lack resources to provide their needs or respond to the outcomes of citizens’ forums. Citizens therefore engage officials to lobby them to include their concerns in the public policies.

Key elements to engaging officials
Although citizens have innate ability to express their needs, citizens do not always know how and when to engage officials. And may require skills and knowledge to navigate effectively. These include lobbying and advocacy skills comprising the use of several communication tools.

Activity Experiencing: Role play (20mins)
- Assign a few people in the room roles as agricultural officials at national and continental levels
- Designate another set as small holder organizations etc.
- Engage them in different scenarios:

Scenario 1: Small holder efforts to influence agricultural policies in an upcoming NEPAD conference

Scenario 2: Accessing information on agriculture at the national level

Processing
- How did the small holder group prepare to engage policy?
- What skills and knowledge were applied?
- How did the officials respond to the farmer groups?
- What were the strengths and weaknesses on both sides?
- What could have been done differently?

NOTE: From participants feedback tease out appropriate ways of engaging officials and processes.
Analysing and Applying

- Citizens have the right and power to speak up and champion their cause;
- Citizens engagement with officials must be strategic, structured and results oriented;
- Appropriate methods must be employed for the desired results;
- Interface with officials at various levels - local, national, continental and international require varying skills and methods;
- The role play builds confidence and prepares citizens for the real task of meeting officials.

Further reading:
Advocacy, power and politics, excerpts from PEOPLES ADVOCACY, 2010

Abdul G., Quantson R. The changing role of civil society in public Policy Making, IDEG, 2009

Nankani, G. The Challenges of Agriculture in Ghana- What can be done?, IDEG, 2009

Reflections
How can small holder organizations play more effective roles in agriculture in Africa?
SUMMARY NOTES

✓ In a democracy citizens have a role to play in decision making
✓ Policies affect citizens so they must have a voice in policy-making
✓ In order to advocate for favourable policies, small holder groups need to mobilize and convene to deliberate on pressing concerns
✓ Citizens’ engagement is critical prior to engaging officials
✓ An issue framing process will help small holder groups to understand concerns and agree on a collective action
✓ Public deliberation promotes shared understanding, builds consensus and encourages collective action
✓ Citizens need to engage officials in order to influence policy
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- Making Choices together, the Power of Public Deliberation, Kettering Foundation, Dayton October 2003
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- Offe C. Micro-aspects of democratic theory: What makes for the deliberative competence of citizens?
SESSION 2:

MODULE: NETWORKING AND COALITION BUILDING

Unit 1: Inter-organizational knowledge sharing and management

Objectives:
By the end of the session participants should;
• Appreciate the meaning of Knowledge networks;
• Have clear idea about the typology of inter-organisational knowledge networks —i.e., an understanding of a cross-organisational networks of information and knowledge;
• Understand how effective knowledge sharing and management can be achieved;
• Be exposed to communication flow among networks

Introduction to Knowledge networks

Knowledge is a justified belief that increases an entity’s capacity for effective action.\(^8\) Knowledge enables an individual to predict, find causal associations, or make decisions about the upcoming actions.

Types of Knowledge
- **Tacit Knowledge**: a continuous activity of knowing and is difficult to formalize and communicate.
- **Explicit Knowledge**: can be codified and transmitted into formal and systematic language.
- **Individual Knowledge**: refers to the sum of individuals’ competencies, information, and knowledge.
- **Collective knowledge**: includes things such as organising principles, routines and practices, and relative organisational consensus on past experiences, goals, relationships that are widely diffused throughout the organisation and commonly held by organisational members.

As knowledge is perceived as the capacity to take effective action, individual knowledge enables an individual to be capable of taking such action; collective knowledge, on the other hand, enables an organisation to be capable of the actions that an individual could not take.

Unit 2: Knowledge Networks

What are they?

Knowledge networks are relationships among entities (individuals, teams, organisations) working on a common concern with the embed interest for collective

and systematic knowledge asset creation and sharing. Different farmers’ organisations may constitute a knowledge network by creating and sharing information within and between their respective organisations (since their preoccupations are almost the same).

**Features of knowledge networks**

- Knowledge networks lead to the collective, creation and sharing of innovations/information/experiences etc.
- The networks provide access to distributed information and capabilities and also represent a form of coordination guided by enduring principles of organization.
- A key principle for knowledge networks is coordination that improves individual capabilities of member entities and also such a coordinating effort should lead to capabilities that are not isolated to the network’s members.

**Unit 3: A Typology of Inter-Organisational Knowledge Networks**

How can inter-organisational flow of knowledge be achieved?

An understanding of cross-organisational network of information and knowledge helps in the attainment of inter-organisational flow of knowledge.

1. **Open knowledge networks**
   - Include inter-organisational structures that facilitate knowledge sharing, usually among a large number of participants, who may not have co-operated in the past – or may even be competitors.
   - Organisations that actively participate in an open knowledge network share a common concern and expect to find knowledge relevant to this concern within the network.
   - Usually open knowledge networks are purpose-driven and expertise-based.

2. **Private knowledge networks**
   - are mainly found as an extension of collaborative supply chains and hence exhibit two significant characteristics:
     1. they are usually organised by a leader organisation in a value chain;
     2. the participation of other – relatively limited in number – organisations in the private network is certified and endorsed by the leading organisation.

Hence, participants in private knowledge networks are usually treated as business partners who have developed rigorous and close relationships with the other members of the network.
3. The closed knowledge exchange
   • Exemplifies the supply of knowledge in a manner similar to the provision of information-intensive services by standardised channels.
   • This category offers its members the opportunity to access quality information and knowledge objects of an expert organization and interact with highly knowledgeable professionals who can provide solutions to specific problems.
   • Relationships between interacting parties are close and structured.

4. Knowledge markets:
   • Refers to open and commercial marketplaces – similar to the ones of business-to-business marketplaces for goods and services.
   • The idea of an open knowledge marketplace with many different buyers and suppliers implies that price and volume are the most important determiners of supply and demand, which is also the case for commodity goods;
   • This may take place in knowledge markets when many suppliers offer similar products, which are clearly identifiable, highly codified and thus receptive to comparison.

Unit 4: Knowledge Sharing

Knowledge sharing: refers to “activities of transferring or disseminating knowledge from one person, group, or organisation to another”

Inter-organizational Knowledge Sharing

What is it?

Inter-organisational knowledge sharing occurs when the knowledge is transferred between organisations.

Key assumption: knowledge is created from each organisation. It is then transferred across an organization’s boundary to complete the sharing process.

Effective Inter-organisational knowledge sharing

It occurs when each organisation is able to use the created and transferred knowledge (to complete the task being undertaken). Learning is an important indicator of gaining knowledge.

How does an organisation learn?
   • When any of its units acquires knowledge that is recognised as potentially useful to the organisation.
   • Organisations should have the ability to recognise the value of new external information, assimilate it and apply it.

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Thus, knowledge sharing becomes effective when organisations acquire information and have the ability to exploit such information. – the concept of absorptive capacity.

Three (3) types of learning between organisations/alliances

1. **Content learning**: the ability of an organisation to internalise the knowledge it receives from the partner.

2. **Partner-specific learning**: entails the process of learning from, and learning about a partner.

3. **Alliance management learning**: is accumulated over time with alliance/group/association experience. This refers to the organisation’s ability to manage multiple alliances simultaneously.

**The Learning Cycle**

![Learning Cycle Diagram]

**Knowledge Sharing: Quotes**

"Broadcast information is not the same than knowledge sharing. KS means involving people in a more complex environment of dialogue."

"Through participatory research we create knowledge which is sustained because we create it in the place where it’s needed."

"Open access is not an objective per se, but the beginning of a broader process of sharing."

"The added value of knowledge sharing comes from learning."

"Each community is a network but not every network is a community."

"The most challenging aspect of a system is dealing with the people who integrate the system, not the technology."

"At the end of a project, everybody wants to learn from the experience, but nobody invests enough nor plans from the beginning."

"Tools are part of a social process: You cannot evaluate the impact of a tool. You have to evaluate all the activities as a whole."
Unit 5: Communication flow among networks

1. Circle: information flows between members in a certain order

2. Hub: information flows between members through the hub

3. Wheel: information flows between members and the hub

4. Knit work: information flows between all members

Further Reading


Lertpittayapoom Nongkran et al., *A Theoretical Perspective on Effective Inter-organizational Knowledge Sharing*, Proceedings of the 40th Hawaii International Conference on System Sciences - 2007
Unit 6: Reflections on research knowledge and activism (case studies of networks best practices)

Objectives
By the end of the session participants should

- Appreciate the usefulness of participatory research for the sharing of knowledge among networks
- Understand ways in which story telling can be used for informal knowledge sharing

Gaining knowledge and awareness: case studies

There are many examples across where some form of citizen participation, often taken initially in response to a felt need, an opportunity to join an association, or an action on an immediate crisis or grievance, in turn creates new knowledge necessary for further action and engagement.

Citizen engagement does not occur because people are fully knowledgeable and aware, but rather involves such initial steps towards participation which can serve to create deeper awareness. This awareness may be of one’s rights and responsibilities or of technical issues important for more effective engagement, or of alternatives to the status quo; or, indeed, some combination of all three.

Case study 1:

Nijera Kori is an NGO based in Bangladesh which an NGO which takes a rights-based approach in its work. In a comparative study of Nijera Kori members and non-members affiliated with microfinance NGOs, Kabeer and Haq Kabir found that Nijera Kori members ‘were far more knowledgeable about their constitutional rights than non-members.’ This is illustrated by the words of an Nijera Kori member:

“If we are to talk about the main strength of Nijera Kori, I would say that in the past, we the poor did not realise many things. My father was a sharecropper, I also became a sharecropper. We thought that we would have to pass our days doing the same things that our forefathers did; that those with assets would stay rich and those without would stay poor. Through Nijera Kori we came to know that we are not born poor, that the government holds wealth on behalf of the people; that our fundamental rights as citizens of Bangladesh are written into the constitution. Before when I needed help, I went to the mattabar [village elite]. Now I go to my organisation.”

Kabeer and Kabir (2009: 49–50)

While such rights awareness may have come in part from the training by the NGO, it also emerged from simply being able to participate in a public space with others, out of the closed space of one’s own household.
Case study 2:

BRAC is a development organisation dedicated to alleviating poverty by empowering the poor to bring about change in their own lives. The organisation was founded in Bangladesh in 1972, and over the course of its evolution, it has established itself as a pioneer in recognising and tackling the many different realities of poverty. BRAC work with poor women, who are the worst affected by poverty. Creating organisations of the poor are at the heart of BRAC's work. It has Village Organisations (VOs) of 30-40 women which act as platforms for these women to come together, access services such as microfinance, exchange information and raise awareness on issues. As a group, these women, who as individuals have little or no voice in decision-making within their homes or their communities, are able to speak out and influence change. According to one of such women:

“Before becoming members of BRAC, the women of this group had no confidence. They were not even aware of their own rights. Most village women are illiterate. They do not go out of the house, and therefore do not have any solid conception about the world beyond. Although I myself have always had courage, even when I was a child, I did not understand about many issues. I had no idea about the extent of discrimination against women.”

She went on to describe how change had come about:

“People gain knowledge on different subjects through discussions and interactions with other people. As a result, women have slowly started to come out of their world of housework [...] I came to know about women’s rights after becoming a member.”

She found herself questioning practices she had taken for granted before:

“I now know that women face discrimination in marriage, that it is a crime to give or take dowry. Before, no woman ever got married without giving dowry. Now, through the involvement of group members, a number of marriages have taken place without dowry.”

(Kabeer and Haq Kabir 2009: 37).

Similar themes of learning coming from group association and action emerge elsewhere:

In Mexico, a female health practitioner from Chiapas state echoes the theme:

“If I go alone, I cannot do anything; nobody will take me into account. But if we are a group of partners, they will have to listen to us because we are many. Our rights as women are important because in this moment it is like waking up from a dream. Before, nobody told us anything about women’s rights. But we have learned that we have the right to speak, to demand our rights. Why? Because we are learning that we have the same rights that men have.” Cortez Ruiz 2005: 139
Reflections:

- We can see that in all these cases knowledge learning has occurred in claimed spaces of people's association;
- In the particular case of BRAC, the creation of women networks across the Bangladesh and the accompanying mobilisation, interaction, information sharing have created in the women a high sense of activism that allow them to engage to demand policy change;
- Acquisition of knowledge and increased awareness has boosted the confidence of the members which results in an overall citizenship, the belief in one's right and the ability to participate.

Further Readings


SESSION 3

MODULE: LOBBYING AND ADVOCACY: CONSENSUS BUILDING AND DIALOGUE WITH OFFICIALS

Methodology

This Block will be interactive with buzz groups, group work, role plays, plenary discussions, inputs and interactive Adult Learning, using the experiential learning framework.

Content

This Block will be further developed by the participation of participants engaged as learning takes place through sharing experiences from the different countries represented in the training. Gender issues will be mainstreamed throughout the training.

Objectives

• To improve and enhance the capacity of CSOs and small-scale farmers to influence the management and implementation of agriculture sector policies and budgets in an efficient and accountable manner through advocacy and lobbying.
• To provide skills to build targeted actions in support of a specific cause, that is supportive and self-sustaining for small-scale agriculture development.

Unit 1: What is Advocacy?

Objectives

By the end of this unit, participants will be able to:
- Define advocacy and Lobbying;
- Understand the different approaches to advocacy
- Identify the steps in the advocacy process; and

Time: 4 hours

Materials and Handouts

- Newsprint, markers, and tape
- Copies of handouts
  - Defining Lobbying and Advocacy
  - Different approaches to Advocacy
  - Steps in the Advocacy Process
- Ask participants what the difference between Advocacy and Lobbying is. Explain the process on flipchart, and refer participants to the handout 1—Defining Advocacy and Lobbying. Further explain that there are different approaches to advocacy, using handout 2—Different Approaches to Advocacy.
Make the opening presentation for Activity 1.

Introduce the unit by reviewing the objectives and following major points:

Advocacy is both a science and an art. From a scientific perspective, while there is no universal formula for effective advocacy, experience has shown that advocacy is most effective when it is planned systematically.

Networks must follow and include specific steps when designing and implementing an advocacy campaign; each step requires distinct knowledge and skills.

Advocacy is also an art. Successful advocates are able to articulate issues in ways that inspire and motivate others to take action. Successful advocates are skilled negotiators and consensus builders who look for opportunities to win modest but strategic policy gains while creating still other opportunities for larger victories.

Artful advocates incorporate creativity, style, and even humour into their advocacy events in order to draw public and media attention to their cause.

The art of advocacy cannot be taught through a training workshop; rather, it emerges from within network members themselves. Advocacy training provides the tools, but participants must add the spark.

- Discuss the current and potential role of NGOs, women and other groups of civil society in the policymaking process; their role as representatives of traditionally underserved populations; the expanding role of NGOs in international arenas, and a personal account or local success story illustrating how advocacy has led to policy change. Card template, “Steps in the Advocacy Process”

- For Activity 2, copy and cut three sets of “Steps in the Advocacy Process” cards using the template at the end of the unit. Each set of cards should be on a different colour paper or card.

For Activity 3, draw the chart “Advocacy and Related Concepts” on the newsprint.

### Advocacy Cards

- ✓ Defending
- ✓ Influence
- ✓ Intervening
- ✓ Decision making
- ✓ Selling an idea
- ✓ Lobbying
- ✓ Attracting attention

- ✓ Providing a solution
- ✓ Sensitizing
- ✓ Persuasion
- ✓ Change
- ✓ Exposure
- ✓ Communication
Steps in the Advocacy Process

Sequencing the Steps

1. Divide participants into three teams.
2. Distribute one set of advocacy cards to each team. Be certain that the cards are NOT in the correct order when you give the sets to the teams.
3. Explain that each card in the set has one step of the advocacy process written on one side and a brief definition/explanation of the step on the other side.
4. Ask each team to read the cards and reach consensus on the order that would be followed to plan and implement an advocacy campaign.
5. Ask the teams to post their cards on the wall or display them on the floor so they are visible to the full group. If possible, have all three sets of cards displayed near one another so that participants can make comparisons.
6. When each team has posted its cards, ask participants to gather around the three arrangements and to identify similarities and differences.
7. Refer to the first set of cards and ask Team 1 members the following:
   • Did everyone agree on the final order?
   • Where did group members disagree on the sequence of cards and what were the areas of debate?
   • Which, if any, steps did participants have difficulty understanding?
8. Ask the other participants if they have questions for the team.
9. Repeat the process for Teams 2 and 3.
10. When all three teams have presented their work, lead a general discussion structured around the following questions:
    • Did the teams all start with the same step? Did they have the same or different ending step?
    • Were there any steps that were ordered concurrently in the process?
    • Were any important steps left out of the process?

Presentation on the Advocacy Process

Explain to participants that the purpose of the sequencing activity was to introduce advocacy as a systematic process with distinct steps and activities. While the steps may not always occur in the same order during an actual advocacy campaign, it is important to consider each step as a critical and integral piece of the advocacy effort.

Distribute Handout: Steps in the Advocacy Process or present it on an overhead transparency or flipchart.

Briefly explain each of the steps in the process by using the notes below as a guide. Write key words and phrases on newsprint as you go through each step. Explain that the remaining units in the workshop will address each of these steps in greater detail.
Steps in the Advocacy Process

I. **Define the Issue.** Advocacy begins with an issue or problem that the network agrees to support in order to promote a policy change. The issue should meet the network’s agreed-upon criteria and support the network’s overall mission (e.g., issue is focused, clear, and widely felt by network constituents). Ask participants to identify ways in which the network could identify issues. Include the following:
   - analysis of the external environment, including political, economic, social, and other factors;
   - organizing issue identification meetings; and
   - collecting and analyzing data about the Agriculture issues.

II. **Set Goal and Objectives.** A goal is a general statement of what the network hopes to achieve in the long term (three to five years). The advocacy objective describes short-term, specific, measurable achievements that contribute to the advocacy goal.

III. **Identify Target Audience.** The primary target audience includes the decision makers who have the authority to bring about the desired policy change. The secondary target audience includes persons who have access to and are able to influence the primary audience—other policymakers, friends or relatives, the media, traditional leaders, etc. The network must identify individuals in the target audience, their positions, and relative power base and then determine whether the various individuals support, oppose, or are neutral to the advocacy issue.

IV. **Build Support.** Building a constituency to support the network’s advocacy issue is critical for success. The larger the support base, the greater are the chances of success. Network members must reach out to create alliances with other NGOs, networks, donors, coalitions, civic groups, professional associations, women’s groups, activists, and individuals who support the issue and will work with you to achieve your advocacy goals. How do you identify potential collaborators? Members can attend conferences and seminars, enlist the support of the media, hold public meetings, review publications, and use the Internet.

V. **Develop the Message.** Advocacy messages are developed and tailored to specific target audiences in order to frame the issue and persuade the receiver to support the network’s position. There are three important questions to answer when preparing advocacy messages: Who are you trying to reach with the message? What do you want to achieve with the message? What do you want the recipient of the message to do as a result of the message (the action you want taken)?
VI. **Select Channels of Communication.** Selection of the most appropriate medium for advocacy messages depends on the target audience. The choice of medium varies for reaching the general public, influencing decision makers, educating the media, generating support for the issue among like-minded organizations/ networks, etc. Some of the more common channels of communication for advocacy initiatives include press kits and press releases, press conferences, fact sheets, a public debate, a conference for policymakers, etc.

VII. **Raise Funds.** Advocacy campaigns can always benefit from outside funds and other resources. Resources can help support the development and dissemination of materials, cover network members’ travel to meet with decision makers and generate support, underwrite meetings or seminars, absorb communication expenses, etc. Advocacy networks should develop a fundraising strategy at the outset of the campaign to identify potential contributors of financial and other resources.

VIII. **Develop Implementation Plan.** The network should develop an implementation plan to guide its advocacy campaign. The plan should identify activities and tasks, responsible persons/committees, the desired time frame, and needed resources.

**On-going Activities**

- **Collect Data.** Data collection supports many of the stages of the advocacy process shown in the model. Advocacy networks should collect and analyze data to identify and select their issue as well as develop advocacy objectives, craft messages, expand their base of support, and influence policymakers. Data collection is an ongoing activity for the duration of the advocacy campaign.

- **Monitor and Evaluate.** As with data collection, monitoring and evaluation occur throughout the advocacy process. Before undertaking the advocacy campaign, the network must determine how it will monitor its implementation plan. In addition, the group should decide how it will evaluate or measure progress and results. Can the network realistically expect to bring about a change in policy, programs, or funding as a result of its efforts? In specific terms, what will be different following the completion of the advocacy campaign? How will the group know that the situation has changed?

In closing, remind participants that advocacy activities are often carried out in turbulent environments. Frequently, networks do not have the opportunity to follow each step in the advocacy process according to the model presented here. Nevertheless, a systematic understanding of the advocacy process will help advocates plan wisely, use resources efficiently, and stay focused on the advocacy objective.
Activity:

Now, help the group think about an advocacy campaign. Common answers for the advocacy questions follow:

**Target Audience:** Policy makers (the decision makers with the authority to affect the advocacy objective)

**Objective:** To change policies, programs, or the allocation of public resources

**Measure of Success:** Adoption of a new or more favorable policy/program; percent shift in resource allocation; new line item in a public sector budget, etc.

Unit 2:

**Key Agriculture Development Issues**

### Objectives

By the end of this unit, participants will be able to:

- Select an issue as the focus of their advocacy campaign;
- Develop a long-term advocacy goal for the issue;
- Set a short-term advocacy objective to contribute to the broader goal.

### Material

- Newsprint, markers, and tape
- Copies of handouts
- 2.1 Background Notes
- 2.2 Checklist for Selecting an Advocacy Objective

### Preparation

- Write the definitions of advocacy goal and objective on the flipchart for Activity 2.

Activity:

**Key Agriculture Development Issues**

**Identifying Issues**

1. Review the objectives for Unit 2 and explain that participants will identify priority issues in Agriculture development; select an advocacy issue; set a clear, relevant advocacy goal; and develop objectives.
2. Share with participants the Agriculture Development issue as shown below:
Although agricultural production is central to the region’s development, it has not achieved the levels of production necessary to ensure food security for all, particularly for the rural poor, who make up 40% of the region’s population and whose existence depends on agriculture. Targeted investment and an enabling environment can lead to increased agricultural productivity and increased supply of food. African countries have committed themselves to increasing investment in agriculture but are, on average, not meeting their commitment to allocate at least 10% of national budgets to agriculture broadly, as agreed at the Maputo Summit in 2003. The commitments are voluntary, compliance cannot be enforced, and countries tend to focus on their own national priorities. However, it is important that where they scale up their national spending, there should be emphasis on directing more expenditure towards agricultural development for smallholder farmers, backed up by concrete policy implementation.

3. Lead participants in a brainstorming exercise to identify the Agriculture development issues in their country. Ask participants to think about the issues they face in their daily work and the principal concerns and problems of the clients and communities they serve.

4. Record all responses on the flipchart until everyone has had an opportunity to contribute.

**Ranking Issues:**

1. Review the list of agriculture development issues with participants to clarify ambiguity and eliminate duplications. Be certain that everyone has the same understanding of each of the issues listed.

2. Explain that participants are going to rank the issues.

3. Ask each participant to come up to the list on the flipchart and tick (3) the three issues that he/she feels are most urgent and/or most relevant to his/her work.

**Note to Facilitator:** Before participants make their choices, ask them to take a minute to think about the issues listed on the flipchart and to try to define a policy solution for each issue. Use domestic violence as an example. One strategy to reduce the incidence of domestic violence may be to launch an IEC campaign directed at victims and/or abusers. Another solution may be to persuade the Ministry of Justice to press for enforcement of existing domestic
violence laws. A third approach may be to convince the Chief of Police to initiate and fund a domestic violence training program for police officers. The first strategy is NOT an advocacy strategy because it does not involve a policy solution; rather, it seeks to increase knowledge and change the behaviours of individuals. The second two examples ARE advocacy strategies because they each involve a policy response.

4. At the end of the voting process, tally the ticks (3) for each issue and write the total next to the issue. Some issues will emerge as especially important to the group.

5. Circle the three issues that received the largest number of votes.

6. Explain that the next step is for participants to choose ONE of the three issues as their highest priority for an advocacy strategy.

7. Discuss each of the three issues in detail by using the following questions as a guide and writing some of the responses on the newsprint:
   - Why is this issue important to the network at this time?
   - What are some examples of policy solutions for this issue?
   - What exactly does the issue encompass?
   - How easy or difficult will it be to build support around the issue?
   - What else is happening with respect to this issue in the external environment?

8. Explain that the process is not intended to determine the most important Agriculture development issue is. Instead, the purpose is to determine which issue is most crucial to the work of the network and its constituents. Advocates are most successful when they feel a deep concern or passion for their advocacy issue.

9. After each issue has been discussed, help the group reach consensus on a single issue as the focus of its advocacy campaign. Remind the group that it will have the opportunity to take on other issues in the future.

**Transition**

Now that the network has selected an advocacy issue for its first campaign, participants will work together to develop the advocacy goal and set the advocacy objectives.
Developing an Advocacy Goal

1. Introduce the topic of advocacy goals and objectives by sharing the definitions on newsprint or on an overhead transparency. Read the definitions aloud and make the following points:
   - It is important, at this stage, to differentiate between an advocacy goal and an objective because the definitions often vary from one country to another and from one network to another.
   - For the purpose of this workshop, the following definitions are used:

   | An advocacy goal | is the long-term result (three to five years) of your advocacy effort; it is your vision for change. |
   | An advocacy objective | is the short-term target (one to two years) that contributes toward your goal. |

2. Ask participants to highlight the difference between the goal and the objective. Include the following points:
   - The **advocacy goal** is a long-term result. It is unlikely that the network can achieve the goal on its own; therefore, the goal can be considered external to the network. In other words, the network will not hold itself accountable for achieving the goal, even though the goal is the ultimate, desired result.
   - The **advocacy objective**, on the other hand, is achievable by the network on its own. It is a short-term target that is achievable—according to the network’s assessment—within the next one to two years. Success can be measured easily—either the MOA allocates the funds or not. In a sense, the objective is the network’s internal target. The network plans to effect the change with its own resources, energy, and action. The advocacy objective clearly contributes to the broader goal.

3. Divide participants into three working groups.
4. Ask each group to draft an advocacy goal for the advocacy issue selected by the full group. The goal statement should describe a long-term, desired change related to the issue. Ask the groups to write their goals on newsprint.
5. Ask each group to share its goal statement.
6. Review each goal statement by using the following questions to guide the discussion:
   - Is the goal achievable through a series of policy decisions or changes? If policy change cannot contribute to achieving a particular goal, it is probably not an advocacy goal. Often, a goal calls for policy action as well as for public awareness raising.
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- How are the three goal statements similar or different? Help participants combine the goals into one statement or select the one goal they like the best. If none of the statements is an acceptable advocacy goal, return to the definition and the example you shared earlier and work with participants to develop an acceptable advocacy goal.

**Note to Facilitator:** Before moving on to the next activity, participants must agree on a single advocacy goal as the focus of their campaign.

**Setting Advocacy Objectives**

1. Ask participants if anyone has experience in establishing programmatic objectives. Explain that such experience is helpful in setting advocacy objectives. Sound objectives are essential to any planning process. Clear and concisely written objectives can bring clarity and direction to the rest of the planning process.

2. Ask participants to list the criteria or characteristics they generally use to develop programmatic objectives and write their responses on the flipchart. Many groups mention the SMART criteria for objectives as shown below, but others may be listed as well.

<table>
<thead>
<tr>
<th>Criteria for Setting Objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td>S - specific</td>
</tr>
<tr>
<td>M - measurable</td>
</tr>
<tr>
<td>A - achievable</td>
</tr>
<tr>
<td>R - realistic</td>
</tr>
<tr>
<td>T - time-bound</td>
</tr>
</tbody>
</table>

3. Now ask participants the following questions:

- Do the SMART characteristics also apply to advocacy objectives?
- What, if any, other criteria or elements should be included in an advocacy objective?

4. Explain that an advocacy objective should be SMART but that it should also include several other elements. Write the following on the flipchart and give a brief description of each element:

<table>
<thead>
<tr>
<th>Elements of an Advocacy Objective</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy “<strong>actor</strong>” or decision maker</td>
</tr>
<tr>
<td>Policy “<strong>action</strong>” or decision</td>
</tr>
<tr>
<td><strong>Timeline</strong> and degree of change</td>
</tr>
</tbody>
</table>
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- Policy actor or decision maker is the individual with the power to convert the advocacy objective into action (i.e., Minister of Agriculture, Parliamentary Finance Committee, etc.).
- Policy action or decision is the action required to achieve the objective (i.e., adopt a certain policy, allocate funds to support a specific program or initiative, etc.).
- Timeline describes when the objective will be achieved. Advocacy objectives should be achievable within one to two years. Some advocacy objectives also indicate the degree of change—or a quantitative measure of change—desired in the policy action. For example, degree of change could be expressed as redirecting 25 percent of the provincial Agriculture to target services for emerging farmers.

5. Divide participants into three working groups and ask each group to draft an advocacy objective that
   - responds to the advocacy issue;
   - contributes toward achieving the advocacy goal; and
   - meets the criteria and elements listed on the flipchart (SMART, etc.).

6. When the groups have completed the exercise, distribute and review Handout 2.3: Checklist for Selecting an Advocacy Objective. Ask the groups to assess their draft objectives according to the nine criteria listed on the handout.

7. Invite each group to read its objective and present the results of its analysis. Ask the full group for comments or suggestions and be sure that the policy actor and policy action are clearly identified in each objective.

8. After the presentations and discussion of each objective, encourage the three groups to refine their objectives if they would like. Explain that the three objectives will be the basis of the upcoming work on audience analysis and message development.

Summary

An advocacy campaign combines together coalitions and civil society organisations around an issue or problem that responds to the interests of the network and is of concern to members’ constituents. The network, in turn, develops a long-term goal that addresses the issue and sets advocacy objectives that define the policy actions sought to support achievement of the goal. The issue, goal, and objective form the foundation of the network’s advocacy campaign and provide the framework within which to design advocacy activities.
UNIT 3:
Target Audiences: Identifying Support and Opposition

<table>
<thead>
<tr>
<th>Target Audiences: Identifying Support and Opposition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Objectives</strong></td>
</tr>
<tr>
<td>By the end of this unit, participants will be able to:</td>
</tr>
<tr>
<td>- Use a power map to identify support and opposition around a particular advocacy issue; and</td>
</tr>
<tr>
<td>- Identify primary and secondary target audiences and analyze their interest in an advocacy issue.</td>
</tr>
<tr>
<td><strong>Material</strong></td>
</tr>
<tr>
<td>- Newsprint, markers, and tape</td>
</tr>
<tr>
<td>- Three to four pairs of scissors, glue, coloured paper, and old magazines that can be cut up for making the power map</td>
</tr>
<tr>
<td>- Copies of handouts</td>
</tr>
<tr>
<td>- 3.1 Background Notes</td>
</tr>
<tr>
<td>- 3.2 Power Map for Audience Analysis</td>
</tr>
<tr>
<td>- 3.3 Primary and Secondary Audience Analysis Form</td>
</tr>
<tr>
<td><strong>Preparation</strong></td>
</tr>
<tr>
<td>- For Activity 1, write the task on newsprint.</td>
</tr>
<tr>
<td>- Place the scissors, tape, coloured paper, or magazines on a centrally located table.</td>
</tr>
</tbody>
</table>

**Activity:**

**Identifying Support and Opposition**

**Introduction:**

Give a brief introduction to Unit 3 by reviewing the objectives and covering the following major points:

To increase the chances of success, advocacy networks must identify and study all the individuals and groups that may support the network’s issue and goal as well as those that may oppose it. These people constitute the target audience.

A target audience is determined for each advocacy objective. The audience includes the primary target audience—persons and/or institutional bodies that themselves
have decision-making authority—as well as the secondary target audience—persons and/or institutional bodies that can influence the decision makers.

- The network should document information on these audiences as a means of targeting advocacy activities, developing effective messages, and selecting appropriate channels of communication.
- The categories of people in the target audience are not identical in every setting. In the Agriculture policy context, however, the target audience is likely to include political leaders, national and local government officials, private and public sector service providers, the media, religious and traditional leaders, NGOs, women’s organizations, professional associations, and business and civic groups.
- Once these persons/bodies are identified, the network assesses the level of support or opposition to be expected from those in the primary and secondary target audiences.
- Identifying potential opposition is as important as identifying potential allies.
- The network can address the opposition by becoming as informed as possible about the opposition’s specific issues and base of support. It can pre-empt opponents’ efforts with messages that anticipate and address their arguments.
- On the other hand, advocacy networks often dedicate themselves to broadening their base of support. The larger the number of persons or groups working to achieve the advocacy objective, the greater is the chances of success.
- Creating broad-based support can be achieved through coalitions with other networks or formal groups, membership expansion, alliances with the commercial or private sector, or public awareness.
- Advocates cannot afford to forget the “undecideds” or neutral parties. In some cases, the best investment of time and energy is to appeal to the neutral public. Public opinion can exert powerful pressure on a decision maker.
- There are many decisions that are based on a thorough analysis of the target audience. In this unit, participants identify primary and secondary audiences for their specific advocacy objectives and begin to assess the audiences’ level of knowledge and support for the issue and objective.

**Transition:**

In this unit, participants continue to develop the advocacy strategy around their issue, goal, and objectives. The participants create power maps to identify members of the target audience as sources of support or opposition for each advocacy objective.
Power Maps:

1. Do a Q&A presentation on a flipchart to ascertain if participants can distinguish between the different target audiences in an advocacy campaign.
2. After the presentation present the blank power map that you drew on the flipchart or overhead transparency.
3. Explain that participants will work in the same groups as for the advocacy goals and objectives.
4. The task for each group is to create a “power map” that visually depicts the target audience—support, opposition, and neutral actors—for its own advocacy objective.
5. Distribute newsprint and markers to the groups and show them the scissors, coloured paper, magazines, glue, etc., that they can use to create their power maps.
6. Review the task that you have written on newsprint by using the blank map as a model.

<table>
<thead>
<tr>
<th>Task for Power Maps</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prepare the newsprint. Write your group’s advocacy objective on the top and divide the newsprint into two sides, one labelled support and the other opposition. The middle line depicts neutrality.</td>
</tr>
<tr>
<td>Brainstorm a list of all institutions and individuals with interest in your issue/objective—supporters, opposition, undecided, or unknown.</td>
</tr>
<tr>
<td>For each institution or individual, cut a symbol or picture out of paper/magazine and label it.</td>
</tr>
<tr>
<td>Tape the symbols on the map in the appropriate place—support, opposition, neutral.</td>
</tr>
</tbody>
</table>

7. As you review the task, elaborate on several steps as follows:
   - **Step b.** Participants should think of traditional as well as nontraditional “actors” in the policy process, including community leaders, celebrities, business leaders, relatives of the target audience, etc.
   - **Step c.** Groups should be as creative as possible in selecting a symbol or magazine image to depict the different actors. If the actor has broad power or influence over the issue, groups should create a large symbol. If the actor is interested in the issue but has little influence over the target audience or general public, groups should use a small symbol.
   - **Step d.** If the actor is highly supportive of the issue/objective, the symbol should be placed on the left side of the map. If the actor represents strong opposition, the symbol should be placed on the right side. The line of neutrality is in the centre of the map, and those actors
who are undecided or whose opinion is unknown should be placed closer to the centre line. If any actor is closely linked to another actor, their symbols can overlap or touch to reflect the interrelationship.

8. Use the following example to review the steps in the mapping process:

- **Advocacy objective.** Within the next year, persuade the chief of police to institute a domestic violence training program for all current and incoming officers.
- **Target audience.** Allies might include a women’s group, human rights NGO, lawyers’ association, etc. These would be placed on the left of the map in proper relation to one another. Opposition might include a police union official, some officers worried about losing human resources while police are in training, individuals worried about funding for the new project. These would be placed on the right side of the map.

9. Ask each group to present its map. Moderate a discussion of each map with the full group. Use the following questions:

- Are there any additional allies that belong on the map? Who are they?
- Are there any additional opponents? Who are they?
- Does the map capture the interrelationships or connections between and among different “actors”?
- Where on the map do most of the power and influence reside?

10. Remind participants to think broadly when identifying the secondary audience.

11. Influential persons often extend beyond professional circles and include personal relationships. For example, a relative, spouse, or friend of a high-level decision maker can be a great intermediary.

12. Allow the groups to complete their Target Audience Analysis forms.

13. When the groups have completed the forms, invite each group to summarize its work. Moderate a discussion with the full group. Sample questions follow:

- What are the general observations about the audience analysis, e.g., need more information on actors, the opposition is more vocal/public than supporters, etc.?
- Overall, do the target audiences evidence more support or opposition?
- Based on the analysis, how might you focus your advocacy effort? Would you build on the support, neutralize the opposition, or try to convert the “undecideds”?
- Why is it important to identify potential benefits? How might these be used to the network’s advantage?
- What, if any, additional information is needed for an accurate assessment of the target audience? Where will you get the information?

14. Conclude the activity by reminding participants that the network should continue to collect information on its target audiences and add it to the form. Information on the various audiences will help define the overall strategy and tailor messages.
Unit 4: Messages: Informing, Persuading, and Moving to Action

Messages: Informing, Persuading, and Moving to Action

Objectives

By the end of this unit, participants will be able to:

• Identify the elements of an effective advocacy message;
• Tailor a message to the interests of a particular target audience; and
• Develop and deliver an advocacy message in a variety of scenarios.

Material

• Newsprint, markers, and tape
• Four to five advertising messages cut out of local magazines or newspapers
• Copies of handouts
  ➢ Background Notes
  ➢ Message Development Worksheet
• Sample role-play scenarios (for adaptation)

Preparation

• For Activity 1, write the definition of advocacy communication on newsprint.
• For Activity 2, cut out four or five examples of advertising messages from magazines or newspapers. Each message should have a simple, promotional phrase such as “Tropical Airways gets you there on time!” as well as pictures/graphics and supplemental text. (Commercial messages work better than social marketing advertisements. If participants are too familiar with the subject matter, they might lose their objectivity.)
• Paste each message to a sheet of newsprint and post each newsprint page on a different wall in the training room so that all are visible.
• For Activity 5, read the role-play scenarios and adapt them to fit the advocacy objectives developed in Unit 2. Ideally, each scenario should depict a different medium for message delivery (e.g., face-to-face meeting, press conference, public debate). Copy the scenarios to distribute to each working group.
Activity 1:

Review the definition of advocacy communication on newsprint.

advertisement

Advocacy Communication is any planned communication activity that seeks to achieve one of the following communication goals: inform, persuade, or move to action.

Draw the Advocacy Communication Model* on newsprint and use the following notes to guide a discussion of communication:

- One necessity for effective communication is a clear understanding of the audience and the ability to see the issue from the audience’s perspective. This is a tremendous challenge—the ability to put yourself in your audience’s shoes and see how the audience members will benefit from supporting your cause.
- During the audience analysis, each working group identified the potential benefits to the target audience from supporting the advocacy objective/issue. In other words, how will each individual in the target audience benefit professionally, politically, or personally from supporting the issue (or conversely, what does each risk)? The answers to these questions should be considered and incorporated into the advocacy messages directed to each member of the target audience.
- Once the audience is informed, the communication strategy moves to achieve the next higher-level objective to produce greater impact. That level seeks to
persuade the audience to feel as strongly as the network does about the issue and to adopt the desired position.

- Once audience understanding and support are achieved, communication moves to the highest level, the point at which advocacy messages move the audience to act in support of the issue.
- Every advocacy communication effort should seek to reach the highest possible level—that is, to move the audience to action. As participants prepare to develop advocacy messages, they will determine the desired action for each audience and how to move the audiences to action through the advocacy messages.

Transition:

The next few activities focus on developing persuasive advocacy messages by looking at the characteristics and elements of messages and practicing message development.

Activity 2:

1. Point out the four or five advertising messages that are posted around the room.
2. Read each message aloud and ask participants to stand next to the message that most appeals to them. Give the participants a minute or two to review each of the messages before they make their selection.
3. After everyone has selected a message, ask participants to talk with the others standing in their group to identify the characteristics of the message that make it appealing. Ask each group to write those appealing characteristics (or why the group likes the message) on the newsprint surrounding the message.
4. Invite each group to share its list of appealing characteristics. While the groups are reading their lists, capture the key characteristics on the flipchart. Be certain to include the characteristics shown below:

<table>
<thead>
<tr>
<th>Characteristics of Effective Messages</th>
</tr>
</thead>
<tbody>
<tr>
<td>√ Simple</td>
</tr>
<tr>
<td>√ Concise</td>
</tr>
<tr>
<td>√ Appropriate language</td>
</tr>
<tr>
<td>√ Content consistent with format</td>
</tr>
<tr>
<td>√ Credible messenger (spokesperson)</td>
</tr>
<tr>
<td>√ Tone and language consistent with the message (i.e., serious, humorous)</td>
</tr>
</tbody>
</table>
5. Conclude by reminding participants to keep these characteristics in mind when they begin developing small-scale Agriculture advocacy messages. It is important to remember that not everyone understands small-holder agriculture issues or considers them priorities and that messages must be kept simple and precise in order to inform, persuade, and move audiences to act.

**Elements of a Message:**

1. Write the following elements of a message on newsprint

<table>
<thead>
<tr>
<th>Five Elements of Messages</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ Content/ideas</td>
</tr>
<tr>
<td>✓ Language</td>
</tr>
<tr>
<td>✓ Messenger/source</td>
</tr>
<tr>
<td>✓ Format/medium</td>
</tr>
<tr>
<td>✓ Time/place</td>
</tr>
</tbody>
</table>

2. Review each element of a message using the following notes:

- **Content/ideas.** The content refers to the central idea of the message. What is the main point you want to communicate to your audience? What single idea do you hope the audience will take away after receiving your message?

- **Language.** Language consists of the words you choose for communicating your message. Is the language appropriate for your target audience? Is the word choice clear, or could it be interpreted differently by various audiences? Is it necessary to use a local dialect or vernacular to communicate the message?

- **Messenger/source.** Source refers to the person or people delivering the message. Is the messenger credible to your target audience? Is it possible to include beneficiaries as spokespersons or messengers? For example, you might invite a community or religious leader to join you for a high-level meeting with a policymaker, you might ask a farmer from Tamale to speak to a group of researchers, etc. Advocacy networks can send a powerful and more meaningful message to policymakers by letting the message come from a member of the affected population.

- **Format/medium.** The format or medium is the communication channel you choose for delivering the message. What is the most compelling format to reach your target audience? Different channels are more effective for certain audiences.
Brainstorming: Ask the group to brainstorm a list of communication media for advocacy messages. Record the responses on the flipchart and be certain to include the following:

<table>
<thead>
<tr>
<th>Message Medium</th>
</tr>
</thead>
<tbody>
<tr>
<td>√ Face-to-face meetings</td>
</tr>
<tr>
<td>√ Executive briefing packets</td>
</tr>
<tr>
<td>√ Public rallies</td>
</tr>
<tr>
<td>√ Fact sheets</td>
</tr>
<tr>
<td>√ Policy forums</td>
</tr>
<tr>
<td>√ Contests to design posters, slogans</td>
</tr>
<tr>
<td>√ Poster, flyers in public places</td>
</tr>
<tr>
<td>√ Petition</td>
</tr>
<tr>
<td>√ Public debate</td>
</tr>
<tr>
<td>√ Press release</td>
</tr>
<tr>
<td>√ Press conference</td>
</tr>
</tbody>
</table>

After the participants have brainstormed an exhaustive list of ways to deliver messages, ask them to think about the criteria they would use when choosing an appropriate medium. Possible responses may include the following:

- **Audience.** Some formats are more effective and more appropriate for specific audiences. For example, high-level policymakers have little time and many constituents. The message needs to give them the facts and move them to action quickly; also, always leave information for them to read later. Effective media for policymakers include briefing packets, fact sheets, face-to-face meetings, and policy forums.

- **Cost.** Using mass media such as radio or television can be extremely costly. The advocacy network should seek out any free or reduced-cost opportunities if the mass media is the medium of choice.

- **Risk.** When a network goes public with an advocacy issue—especially a controversial one—risk is always involved. Certain advocacy tactics entail more risk than others. Public debates and live forums highlighting both sides of an issue can turn into “heated” events. Nevertheless, risk can be minimized through careful planning, selection of speakers, rehearsals, etc.

- **Visibility.** The advocacy network may choose one medium over another if it can make use of a contact or connection to raise the visibility of an event. Perhaps a celebrity or high-ranking public official is willing to pay a site visit to a project or make the opening speech at a meeting. Such an event may provide an excellent opportunity to recruit other decision makers and promote a particular advocacy objective.

- **Time/place.** When and where will the message be delivered? Are there other political events that you can link up with to draw more attention to the issue? Some advocacy groups connect their advocacy activities with events such as
World Food Day or International Women’s Day. Is there an electoral campaign underway that might make policymakers more receptive than normal to your message?

Transition:

By now, participants should have a basic understanding of the characteristics and elements of effective advocacy messages. The next activity provides an opportunity for the participants to practice developing and delivering advocacy messages to members of their target audiences.

Activity 3:

Developing Advocacy Messages

1. Ask participants to return to their audience analysis teams.
2. Distribute and review Handout 4.2: Message Development Worksheet.
3. Instruct each team to select one of the individuals or institutions from its target audience analysis form and complete the Message Development Worksheet for that audience.
4. Allow groups to complete the task.
5. Invite each group to present a summary of its worksheet.
6. After each presentation, ask the other participants for their comments, questions, or suggestions. Use the following questions as a guide for the discussion:

   • What was the central idea of each message? Was it clear?
   • Was the content appropriate for the message’s audience? Why or why not?
   • What additional information should be included? Omitted?
   • Were data used effectively?
   • Was the desired action clearly articulated? Was it appropriate?
   • Do participants agree with the choice of format, spokespersons, time, and place?
Activity 4:
Delivering Advocacy Messages

The One-Minute Message

Note to Facilitator: The final activity involves participants in delivering advocacy messages to decision makers. This learning exercise is most effective if the facilitator has had a chance to adapt the role-play scenarios to each of the advocacy objectives developed by the network. If possible, provide each team with a distinct scenario that reflects the team’s objective and target audience. Sample role-play scenarios are provided for adaptation.

Introduce the activity by reminding participants of the importance of presenting messages that are clear and concise.

Draw the “one-minute message” on newsprint. Use the following notes to provide an overview:

A critical component of advocacy campaigns is media attention.

Advocacy networks may invite journalists to attend selected events to increase the visibility of the issue and to ensure that their message reaches a wider audience. Media presence usually means that someone from the network will be interviewed about the event and the issue. In any interaction with mass media, it is vital that the spokesperson communicate both the main idea and the desired action of the advocacy message in 30 to 60 seconds.

Mass media coverage of events and interviews is normally distilled into a 30- to 60-second tape for use on the television or radio news. To ensure that the central points of the message are communicated during this brief transmission, spokespersons must be skilled at delivering “the one-minute message.” This simple model will help focus the speaker on constructing or tailoring a message for a television or radio interview.

The “one-minute message” includes four components as follows:

• **Statement.** The statement is the central idea of the message (as defined on the Message Development Worksheet). The spokesperson should be able to present the “essence” of his/her message in several strong sentences.

• **Evidence.** The evidence supports the statement or central idea with facts and/or figures. The message should include limited data that the audience can easily understand—such as “only one out of five farmers in the SADC region has access to farm inputs like fertilizer and seeds rather than “4,253,800 farmers have access to extension services”.

• **Example.** After providing the facts, the spokesperson should add a human face to the story. An anecdote based on a personal experience can personalize the facts and figures.

• **Action Desired.** The desired action is what you want the audience to do as a result of hearing the message. The advocacy objective should be stated clearly to the target audience as an invitation for action!

<table>
<thead>
<tr>
<th>The One-Minute Message</th>
</tr>
</thead>
<tbody>
<tr>
<td>Statement</td>
</tr>
</tbody>
</table>

Read the following example provided by an advocacy network working on enhancing women’s access to land:

**Statement:** Key to improving agricultural productivity and household food security lies on enhancing women’s access to and control of land.

**Evidence:** Past research emphasizes that when provided with a combination of land rights, input and credit, female-headed households will be equal contributors to agricultural growth.

**Example:** Members of our network in Zambia and Tanzania have highlighted that even though there are positive land reform laws in favour of land ownership by women have been enforced, women do not own or control land due to lack of capital, illiteracy and a lack of knowledge on their land rights.

Ask participants what is missing from the message—the action desired from the audience. Does the network want a particular policymaking body to put more resources into creating awareness and sensitising women about their land rights? Enhance women’s access to capital? The message must clearly articulate what is desired.

**Role-Plays:**

1. Distribute the related role-play scenario to each group. Give participants time both to read the scenario and ask questions for clarification.
2. Explain that each group is going to develop a 10-minute role-play demonstrating how it chose to develop and deliver its message described in the scenario.
3. Encourage participants to refer to the “one-minute message” if they are going to be interviewed by the mass media during their role-play.
4. Allow time to develop the message and design the role-play and assign parts.
5. Encourage participants to use any materials or props they may need.
6. When the groups are ready to present their role-plays, arrange the chairs theatre-style. Invite each group to introduce its role-play by summarizing the scenario.
7. Following each role-play, ask the full group for feedback. Use the following questions to guide the discussion:
   • Was the central advocacy message clear? What was it?
   • Put yourselves in the place of the target audience. Were you informed, persuaded, and moved to act?
   • Which communication techniques pushed the audience up the advocacy communication scale?
   • What was the most effective part of the message?
   • What, if anything, would you add or do differently?

Activity 5:

Reviewing the Advocacy Process

1. Present the Steps in the Advocacy Process on a transparency or flipchart.
2. Discuss each step in turn by using the following questions:
   • What are the key points and considerations for this step?
   • What did you learn about this phase of the advocacy process that you didn’t know before?
3. Record participants’ responses on the flipchart. Examples of possible responses are listed below:

   • Advocacy Issue
     ➢ A problem widely felt by constituents/clients of the network
     ➢ Issue must have policy solution
     ➢ Forms foundation of advocacy strategy
   • Goal
     ➢ Long-term vision for change, over three to five years
   • Objective
     ➢ Short-term, realistic, measurable and time-bound
     ➢ Describes desired policy action and audience
   • Target Audience
     ➢ Primary audience consists of policymaker/institution with authority to affect advocacy objective.
     ➢ Secondary audience consists of individuals/institutions that can influence those with authority.
     ➢ Identify supporting and opposing views; incorporate these views into strategy.
     ➢ Assess audience’s knowledge, beliefs, and power base.
• **Building Support**
  - Increase base of support by forming or joining other networks and coalitions
  - Build support with stakeholders such as community members, universities, religious leaders, research institutes, etc.

• **Message Development**
  - Effective messages are clear, concise, and tailored to the target audience
  - Deliver consistent message by using multiple channels over time

• **Channels of Communication**
  - Numerous options for message delivery
  - Consider audience, timing, cost, and other factors to select best format.

• **Fundraising**
  - Resources expand options for advocacy activities
  - Network may want fundraising strategy to target possible donors.

• **Implementation Plan**
  - Details activities, resources, timeframe, and responsible person(s)

• **Data Collection**
  - Accurate and current data support all phases of the advocacy process.
  - Include qualitative and quantitative data.

• **Monitoring/Evaluation**
  - Monitor activities and evaluate results

4. Ask participants if they would like to highlight any other key lessons about advocacy before proceeding to the implementation plan.

**Handout 1**
(Adapted from the Idasa Citizen Leadership for Democratic Governance course)

**Defining advocacy and lobbying**

*Advocacy* means any action geared towards changing the policies, positions or programmes of an institution or government. Most often, advocacy activities focus on changing government policies and laws. Advocacy is about identifying a problem, coming up with a solution to that problem, establishing strong support for that solution and developing an effective implementation plan. Lobbying influential people for support is part of the advocacy process. However, advocacy goes beyond this to include broader public education on the issue, in order to establish wide support for the proposed solution.
The word lobbying is often quite loosely used, also to denote building support for an idea or a person. However, in its original meaning, **lobbying** is a somewhat more focused activity than advocacy. The concept of lobbying was born in the lobby (i.e. the reception area) of the Houses of Parliament in Britain. In the days before telephones and faxes, members of the public would wait in the lobby to speak to members of parliament or other parliamentary officials as they walked in and out of the building. They would try to persuade these MPs and officials about how to vote on a particular policy or bill. Because this interaction took place in the lobby, the verb “to lobby” came into being.

Staying with the origin of the word, **lobbying** refers specifically to efforts to persuade people in authority to support an idea or proposal. In this way, lobbying can be seen as a vertical interaction, between citizens and government, for example. At some point, an **advocacy** campaign will almost inevitably involve lobbying, as the objective is to influence the decision that is finally taken by government. However, advocacy also has a strong horizontal focus. It is about persuading other citizens and civil society groups to support a suggested policy change (for example). As such, it has a strong emphasis on information sharing and awareness building. By establishing wide support “on the ground” for a proposal through skilful advocacy work, it is a lot easier to persuade government to adopt the proposal too, when the time comes to lobby the top decision-makers.
Handout 2
(Adapted from the Idasa Citizen Leadership for Democratic Governance course)

Different approaches to advocacy

There are different ways in which an organisation can approach advocacy work, depending on its interests and capacity.

Option 1. Pro-actively providing expert input

Certain organisations have staff who are recognised experts in a particular field. They develop a co-operative relationship with members of parliament, particularly those who sit in specialised parliamentary committees. They take the initiative to propose new policies and legislation, and make significant input to the drafting and revision of documents that are presented to parliament.

An example of this pro-active, high-level lobbying was when IDASA assisted with the drafting of the Promotion of Access to Information Act. While working closely with legislators, IDASA also created an alliance of NGOs to discuss input and to monitor progress.

Option 2. Parliamentary monitoring and advocacy

This style of advocacy is built on the consistent monitoring of legislators, so that their work remains transparent and opportunities for public participation are used. Dedicated parliamentary monitors track the work of a particular committee. They
attend the committee meetings, taking notes on all the relevant points made during the meetings. This information is shared with other organisations working in that particular sector. They help to analyse the key issues that need to be followed up with letters or submissions to the committee.

Monitoring can be a way of building relationships with legislators through growing familiarity and informal conversations during breaks. These relationships can be extremely valuable for the purposes of targeted lobbying at a later stage. Of course, the monitoring of parliamentary committees also keeps the members on their toes. This can help legislators to be accountable and transparent, but only if the monitors do critical follow-up work.

**Option 3. Grassroots advocacy**

Some people are concerned that the above two methods of lobbying and advocacy are elitist and can become individualistic. A lot of knowledge about policy stays with the lobbyist and changes are often depend on the direct relationship between the lobbyist and the legislators. This critique is quite valid. The grassroots approach to advocacy aims first and foremost to keep citizens in a particular sector or community informed about issues that are being discussed in parliament which are relevant to them. Information has to be presented in an accessible way so that people on the ground are able to discuss the proposed policies or laws, and to propose alternative approaches or amendments.

Grassroots advocacy therefore focuses mainly on educational programmes, conducting workshops on a policy issue, writing fact sheets or action alerts, or organising for action (writing letters or making phone calls to MPs, sending delegations to make presentations at public hearings, mobilising people to participate in demonstrations, etc.). The focus of this work is to expand the knowledge base of organisations within the sector, and to involve NGOs, CBOs and ordinary citizens in advocacy around an issue that is important to them.
Handout 3

Steps in the Advocacy Process

I. Define the Issue. Advocacy begins with an issue or problem that the network agrees to support in order to promote a policy change. The issue should meet the network’s agreed-upon criteria and support the network’s overall mission (e.g., issue is focused, clear, and widely felt by network constituents). Ask participants to identify ways in which the network could identify issues. Include the following:

- analysis of the external environment, including political, economic, social, and other factors;
- organizing issue identification meetings; and
- collecting and analyzing data about the Agriculture issues.

II. Set Goal and Objectives. A goal is a general statement of what the network hopes to achieve in the long term (three to five years). The advocacy objective describes short-term, specific, measurable achievements that contribute to the advocacy goal.

III. Identify Target Audience. The primary target audience includes the decision makers who have the authority to bring about the desired policy change. The secondary target audience includes persons who have access to and are able to influence the primary audience—other policymakers, friends or relatives, the media, traditional leaders, etc. The network must identify individuals in the target audience, their positions, and relative power base and then determine whether the various individuals support, oppose, or are neutral to the advocacy issue.

IV. Build Support. Building a constituency to support the network’s advocacy issue is critical for success. The larger the support base, the greater are the chances of success. Network members must reach out to create alliances with other NGOs, networks, donors, coalitions, civic groups, professional associations, women’s groups, activists, and individuals who support the issue and will work with you to achieve your advocacy goals. How do you identify potential collaborators? Members can attend conferences and seminars, enlist the support of the media, hold public meetings, review publications, and use the Internet.

V. Develop the Message. Advocacy messages are developed and tailored to specific target audiences in order to frame the issue and persuade the receiver to support the network’s position. There are three important questions to answer when preparing advocacy messages: Who are you trying to reach with the message? What do you want to achieve with the message? What do you want the recipient of the message to do as a result of the message (the action you want taken)?
VI. **Select Channels of Communication.** Selection of the most appropriate medium for advocacy messages depends on the target audience. The choice of medium varies for reaching the general public, influencing decision makers, educating the media, generating support for the issue among like-minded organizations/networks, etc. Some of the more common channels of communication for advocacy initiatives include press kits and press releases, press conferences, fact sheets, a public debate, a conference for policymakers, etc.

VII. **Raise Funds.** Advocacy campaigns can always benefit from outside funds and other resources. Resources can help support the development and dissemination of materials, cover network members' travel to meet with decision makers and generate support, underwrite meetings or seminars, absorb communication expenses, etc. Advocacy networks should develop a fundraising strategy at the outset of the campaign to identify potential contributors of financial and other resources.

VIII. **Develop Implementation Plan.** The network should develop an implementation plan to guide its advocacy campaign. The plan should identify activities and tasks, responsible persons/committees, the desired time frame, and needed resources.

**On-going Activities**

- **Collect Data.** Data collection supports many of the stages of the advocacy process shown in the model. Advocacy networks should collect and analyze data to identify and select their issue as well as develop advocacy objectives, craft messages, expand their base of support, and influence policymakers. Data collection is an ongoing activity for the duration of the advocacy campaign.

- **Monitor and Evaluate.** As with data collection, monitoring and evaluation occur throughout the advocacy process. Before undertaking the advocacy campaign, the network must determine how it will monitor its implementation plan. In addition, the group should decide how it will evaluate or measure progress and results. Can the network realistically expect to bring about a change in policy, programs, or funding as a result of its efforts? In specific terms, what will be different following the completion of the advocacy campaign? How will the group know that the situation has changed?

In closing, advocacy activities are often carried out in turbulent environments. Frequently, networks do not have the opportunity to follow each step in the advocacy process according to the model presented here. Nevertheless, a systematic understanding of the advocacy process will help.
Handout 4

Issues, Goals, and Objectives:

Background Notes

The first two steps in any advocacy campaign, is selecting the advocacy issue. This is followed by developing the goal, and the objective. These pieces of the advocacy process make up some of the most challenging, analytic work facing an advocacy network. Completing these steps demands the ability to analyze complex environments and interrelated problems, discern a policy solution for a selected problem, envision a long-term result, and articulate a short-term objective. The quality of the network’s efforts in these areas will have an important bearing on the success of the steps that follow. These elements provide the foundation for an effective advocacy campaign.

Without a clear, articulated issue and well-defined goal and objective, the remaining steps of the campaign will lose focus. An advocacy issue is the problem or situation that an advocacy group seeks to rectify. Some of the networks with which the POLICY Project works have focused their efforts around issues such as limited small-scale farmers’ access to productive resources like land, water and other inputs, limited access to new and proven technologies, the need for farmers’ support in mitigating and coping with the impacts of climate change, etc. In the wake of the global crises and increasing food prices, advocacy issues that have attracted international attention are increased public expenditure on small-scale agriculture to improve household food security and the right to food for all citizens. In this unit, participants will select an issue that is widely felt by their constituency and begin to build an advocacy campaign around that issue.

In various settings, the terms goal and objective are used interchangeably. In some instances, an objective is broad and a goal is narrow; in others, the meanings are reversed. For the purpose of the advocacy workshop, an advocacy goal is the long-term result (three to five years) that the network is seeking. Participants should envision how the policy environment will be changed as a result of their advocacy efforts. Will more scale farmers access to productive resources and other inputs as a result of increased government expenditure, will governments put up mechanisms for participation of small-scale farmers in policy and decision making processes and will that lead to more responsive policies and enhanced livelihoods, These example represent a long-term vision for policy change. An NGO network may not be capable of achieving its goal single-handedly, but the goal statement can orient an advocacy network over the long term.

An advocacy objective is a short-term target (one to two years) that contributes to achieving the long-term goal. A sound objective is specific, measurable, realistic and time-bound. Often, networks work on two or more objectives simultaneously in their efforts to achieve a single goal. It is important that an advocacy objective identify the
specific policy body with the authority to fulfil the objective as well as the desired policy decision or action. An example of a sound advocacy objective is to persuade the government to domesticate the SADC protocol on Food security and agriculture, or for government to develop a CAADP country compact.
Handout 5  
Checklist for Selecting an Advocacy Objective

This checklist is designed to help advocacy groups develop and choose sound objectives for policy change.

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Objective 1</th>
<th>Objective 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Do qualitative or quantitative data exist to show that the objective will improve the situation?</td>
<td></td>
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<tr>
<td>2. Is the objective achievable? Even with opposition?</td>
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<tr>
<td>3. Will the objective gain the support of many people? Do people care about the objective deeply enough to take action?</td>
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<tr>
<td>4. Will you be able to raise money or other resources to support your work on the objective?</td>
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<tr>
<td>5. Can you clearly identify the target decision makers? What are their names or positions?</td>
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<td>6. Is the objective easy to understand?</td>
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<tr>
<td>7. Does the advocacy objective have a clear time frame that is realistic?</td>
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<tr>
<td>8. Do you have the necessary alliances with key individuals or organizations to reach your advocacy objective? How will the objective help build alliances with other NGOs, leaders or stakeholders?</td>
<td></td>
<td></td>
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<tr>
<td>9. Will working on the advocacy objective provide people with opportunities to learn about and become involved with the decision-making process?</td>
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</table>
Handout 6

Target Audiences: Identifying Support and Opposition

To increase the chances of success, advocacy networks must identify and study all the individuals and groups that may support the network’s issue and goal as well as those that may oppose it. The advocacy campaign’s target audiences must be determined for each advocacy objective to be achieved and include the primary target audience—persons and/or institutional bodies that themselves have decision-making authority—as well as the secondary target audience—persons and/or institutional bodies that can influence the decision makers. Documenting information on these audiences helps the network target its advocacy activities, develop effective messages, and select appropriate channels of communication.

While the categories of people in the target audience are not identical in every setting, the small-scale agriculture policy target audience is likely to include political leaders, regional, national, and local government officials, private and public sector service providers, the media, traditional leaders, NGOs, women’s organizations, farmers groups/associations, and other civic groups, as well as donors. Once the audiences are identified, the network must determine the level of support or opposition to be expected from those in the primary and secondary target audiences.

Whether opposition is mild or strong, advocacy networks should be prepared to address it in ways that are most beneficial to their own efforts. The best advice is to be as informed as possible about the opposition’s specific issues and base of support and to pre-empt oppositional efforts with messages that anticipate and refute the opponents’ arguments.

On the other side of the coin, advocacy networks often dedicate themselves to broadening their base of support. The larger the number of persons or groups working to achieve the advocacy objective, the greater is the chances of success. Networks can create coalitions with other networks or formal groups, expand their own membership, create alliances with commercial or private sector entities, and/or generate public and community support to enlarge their support base. Finally, advocacy networks cannot afford to forget the “undecideds” or neutral parties.

Several decisions are based on a thorough and sound analysis of the Advocacy campaign’s target audience. This unit provides an opportunity for participants to identify both primary and secondary audiences for their specific advocacy objectives and to begin assessing the audiences’ level of knowledge and support before turning to the task of message development.
Handout 7

Messages: Informing, Persuading, and Moving to Action

In today’s society, we are bombarded by messages every day. The intent of the message may be to sell us a product, inform or educate us in some way, or change our opinion about an issue. An advocacy communication strategy follows many of the same principles as an advertising or social marketing campaign. It is essential to know your audience thoroughly and to deliver a concise, consistent message that is tailored to your audience’s interests. Most people shape their messages to the needs and interests of a particular audience as a matter of common sense. In other words, the message communicated to a farmers’ cooperative about enhancing access to agricultural extension services for women farmers would differ from the message transmitted to officials in the Ministry of Agriculture.

Audience research—particularly qualitative research such as focus group discussions and in-depth interviews—helps identify appropriate messages for various policy audiences. Whoever the target audience may be, it is important to remember three other points about advocacy message development.

First, there should ideally be only one main point communicated or, if that is not possible, two or three at the most. It is better to leave people with a clear idea of one message than to confuse or overwhelm them with too many. Second, messages should always be pretested with representatives of the target audience to ensure that the message sent is the one received. When a network develops an advocacy message directed toward the Minister of Agriculture, for example, it is always useful to practice delivering the message to a supportive Ministry official as a test run. The Ministry official may offer valuable feedback about how the message is interpreted. Third, the message should not only persuade through valid data and sound logic, but it should also describe the action the audience is being encouraged to take. The audience needs to know clearly what it is you want it to do, e.g. create space for farmers participation on the development of a CAADP country compact, support an advocacy campaign by participating in a policy dialogue.

This unit addresses the essential components of a message—content, language, messenger/source, format, and time/place of delivery. Participants are asked to apply what they know about advocacy message development through role-play scenarios with decision makers.
Handout 8

ADVOCACY MESSAGES

Developing Advocacy Messages

- What was the central idea of the message? Was it clear?
- Was the content appropriate for the message’s audience? Why or why not?
- What information should be included or omitted?
- Were data used effectively?
- Was the desired action articulated? Was it appropriate?
- Do you agree with the choice of format, spokespersons, time and place

Elements of a message

✓ Content/ideas
✓ Language
✓ Messenger/source
✓ Format/medium
✓ Time/place

Message medium

✓ Face-to-face meetings
✓ Executive briefing packets
✓ Public rallies
✓ Fact sheets
✓ Policy forums
✓ Contests to design posters, slogans
✓ Posters and flyers
✓ Petition
✓ Public debate
✓ Press release
✓ Press conference

Characteristics of Effective Messages

✓ Simple
✓ Concise
✓ Appropriate language
✓ Content consistent with format
✓ Credible messenger (spokesperson)
✓ Tone and language consistent with the message (i.e. serious, humorous)
BLOCK THREE
THE BUDGET PROCESS:
PRACTISING PUBLIC POLICY MAKING
SESSION 1:

MODULE: BUDGET PROCESS AND CYCLE AT LOCAL AND NATIONAL LEVELS

Methodology:

This session will be interactive with buzz groups, group work, role plays, plenary discussions, inputs and interactive Adult Learning, using the experiential learning framework.

Content:

It will be further developed by the participation of participants engaged as learning takes place through sharing experiences from the different countries represented in the training. Gender issues will be mainstreamed throughout the training.

Facilitators Note: Include discussions and/or activities that deepen an understanding of gender budgeting and how to make gender visible in budgeting for agriculture development

Objectives:

By the end of this session, participants should:

- Have a basic understanding of what government budgeting is about;
- Appreciate why public budgets are so important;
- Be familiar with many of the concepts and terms people use when they talk about budgets;
- Have a clear sense of what public budgets consist of and what they meant to achieve
- Know more about the budget system and process in their respective countries;
- Recognise how some budget systems are more open than others;
- Have some ideas about how to build greater transparency, participation and accountability in the Agriculture sector budgeting
- Have a good grasp of how gender budgeting fits into the overall budget; and
- Know how to plan an advocacy strategy and identify how budget work can be used to strengthen it.
Unit 1:

Budgets, Budget Cycle, Process and Role Players

Overall Session Objectives
By the end of this unit, participants will:
A. have a good grasp of what a budget is;
B. have an understanding of budgeting rationale and its objectives
C. understand the phases of the Budget Cycle
D. be familiar with the budget structure and main budgetary concept

What is a budget, and why do budgets matter? (Rationale)

TASK 1: What is a Budget? Individual participants are expected to draw up an income and expenditure tree to understand the components of a family budget. Report back to the plenary.

In very simple terms, a budget is a plan of collecting funds and how to spend the funds. It is a financial package that shows how revenue is obtained and how it is spent. It can also be termed as a systematic spending of money within a given period of time e.g. a year or two years or three years. It outlines the major sources of revenue and how such revenues are to be expended as well as the overall budget surplus or deficit and how the budget deficit will be financed (Malawi Economic Justice Network, 2003)

TASK 2: What is a Budget?

5. In groups of threes or fours, can you define the term “budget”?

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6. In the same groups, can you define what government budgets are?

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7. Draw a typical budget structure clearly showing income, expenditure and other items.

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TASK 3: In groups of 3-4, participants are required to use their organisation’s budgets to identify:

1. What are the sources of income and what are expenditure items?
2. What are the main expenditure items in the budget?
3. How was the budget drafted? What process did each organisation follow to reach a final budget?
4. Who was involved in the drafting of the budget? Is it a participatory process or is it the responsibility of the municipal leadership only?
5. How are budgets monitored to ensure that expenditure items are tracked? Is income being spent on the items identified in the budget?
Unit 2:
Budget Structure and Main Budgetary Concepts

**WHAT IS A GOVERNMENT BUDGET?**

AIMS: To help us to:

- Understand that budget for governments is an expected plan of income received in the form of tax revenues and loans or donor grants and how this income will be spent by government;
- That a local/national government budget is a reflection of local/national government policies, priorities and planning for the delivery of goods and services;

**TASK 1:** The facilitator draws an analogy between organisational and government budgets. Divide participants into country groups and allow them to finish the task below:

In groups, participants are required to use their organisation’s budgets to identify:

1. **What are the sources of income and what are expenditure items?**
   - ..................................................................................................................................................
   - ..................................................................................................................................................
   - ..................................................................................................................................................
   - ..................................................................................................................................................
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   - ..................................................................................................................................................

2. **What are the main expenditure items in the budget?**
   - ..................................................................................................................................................
   - ..................................................................................................................................................
   - ..................................................................................................................................................
   - ..................................................................................................................................................
3. How was the budget drafted? What process did each organisation follow to reach a final budget?

4. Who was involved in the drafting of the budget? Is it a participatory process or is it the responsibility of the municipal leadership only?

5. How are budgets monitored to ensure that expenditure items are tracked? Is income being spent on the items identified in the budget?
Do local government budgets matter then? If yes how?

A municipal budget expresses the local government’s policy priorities and expectations of the economy and translates these into revenue proposals and expenditure allocations. In other words, the budget governs the allocation of scarce resources towards the advancement of the resident’s priorities.

Applied to local government budget, the budget is simply a national financial plan of covering expenditure and receipts usually for a period of one year.

Look at this sketch!

As a political tool reflecting the policy priorities of the government entails that those involved in budget analysis must understand the political philosophy and policy platform of government in order to usefully participate in the budget process.

As an economic tool aimed at building the economy, means that a budget is aimed at influencing the direction of investment and promote employment. In trying to achieve these economic objectives budget planners need to consider the following factors carefully:

- the economic viability of measures proposed in the budget;
- the trajectory and targets of economic growth
- where jobs can be realistically and sustainably created and promoted
- the development of competitive industries.
• As a tool for planning, setting out goals, costs and expected outcomes of spending, a budget helps to determine what activities are to be undertaken and authorizes the financial resources that may be disbursed.

• Lastly as a legal tool for compliance with national legal frameworks such as legislation, financial and accounting legislation, a budget therefore acts as a control tool in that it holds agencies accountable for planned revenue and expenditure.

**TASK 2: Group discussion (3-4 people):**

1. Look at the first Venn diagram below.
2. Participants are required to identify problems inherent in the budget system. What are the problems relating to accountability, participation and transparency in your country context?
3. Identify these problems on the Venn diagram.

Groups will report to the plenary.

**Instructions:** Facilitator notes group responses of flip chat. Participants take own notes for future reference below.
TASK 3: Group discussion (3-4 people):

1. Look at the second Venn Diagram 2 Above
2. In groups, participants are required to indicate obstacles associated with their participation in the budget process.
3. Identify these problems on the Venn diagram.

Groups will report to the plenary.
Instructions: Facilitator notes group responses of flip chat. Participants take own notes for future reference below.
Unit 3:

Phases of the Budget Cycle and Role Players

AIMS To help us to:

• Understand the laws governing the local/national budget process;
• Understand the role of the Executive;
• Understand the role of the Legislature;
• Understand the role of the Supreme Audit Institution (SAI)
• Understand the role of civil society;
• Understand what is meant by a budget cycle;
• Understand the four (4) phases of the budget process;
• Understand the difference between open and closed budget systems;
• Understanding medium-term expenditure frameworks.

TASK 1: Facilitator to present:

1. A generic model of the budget process and budget cycle.
2. Presentation should rather pose questions for plenary discussion to help clarify and encourage participation.

Facilitator to pose questions on:

1. The nature of the budget system: open or closed;
2. Key players in the budget process and cycle;
3. How the budget process works;
4. Participation of various constituencies and the law that govern their participation;
5. Annual budgets and longer- term budgets (MTEF)
6. Where are possible openings for councillors and civil society to influence the budget?

The Budget Process & Budget Cycle

A local government budget forms part of an ongoing process of decision-making about public resources, located within a broader system for managing and evaluating the municipality’s spending and revenue policies. When you assess the budget, it is important to take account of the process whereby the budget is drafted, approved, implemented and evaluated.
The four phases of the budget cycle can overlap at any point in time. It is possible for different budgets to be at different stages of their budget cycle. Most countries have legislation that prescribes when during the fiscal year, the different stages of the budget cycle need to take place. The effective functioning of the budget cycle depends on the quality of the broader budget system of which it is part. In the previous activity, we looked at the opportunities for participation at the various stages of the budget cycle.

Which phase of the budget cycle in your local or national budget are you most familiar with? Please divide into four groups. Each group will discuss a different phase of the budget cycle as it takes place in your local context. You will then have an opportunity to learn from the insights emerging from each of the four groups.

**GROUP EXERCISE:**

In your group, describe the phase of the budget cycle you are considering in as much detail as possible. Your discussion should give attention to:
- The main role players involved in this part of the budget cycle
- The main activities that go into this part of the budget cycle
- An indication of the time frames and important dates in this phase, if you can
- How the previous phase in the budget impacts on yours
- How the phase you are studying impacts on the next phase
- What are the potential entry points for advocacy in this phase
Use the space below to prepare a chart or clear overview of this phase of the budget cycle to present to the larger group. Ask one or more members of the group to copy it into a loose sheet of paper or flip chart.

Phase of budget cycle:…………………………………………………………
<table>
<thead>
<tr>
<th>Revenue</th>
<th>Expenditure</th>
</tr>
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National Budget Structure and Terminology

Budget Structure

Government budgets have two major parts namely revenue and expenditure sections.

Revenue

This refers to government’s income sources for financing estimates or expenditures. In an ideal situation, government expenditures must equal to revenue but often than not, government budgets have either deficits or surplus. A deficit occurs when government expenditure exceeds its revenue and a surplus occurs when revenue exceeds expenditure.

Governments may derive their income from various sources including taxation, direct or indirect and also from non-tax revenue which include such things as user fees paid voluntarily by the public in return for government services such as licenses, user fees or stamp duties.

Sources of Revenue

Can we quickly mention 3 sources of government revenue?

Taxation

Refers to the revenue raised by governments as a result of its sovereign powers. It is levied directly or indirectly on individuals due to the existence of a connection between their income and the state or the consumption of certain goods or services. In order for something to be a tax, the payer should not receive a direct benefit in return for paying that tax to the exchequer.

Direct taxation

Taxes charged on taxable income of individuals and legal entities. These include personal income tax (PAYE) and corporate income tax. There has to exist an effective connection between the individual earning the income subject to tax and the state or the activity that gives rise to the income.

Indirect Taxation

It is a tax levied on the consumption of goods and services. A typical example is the sales tax, customs duties, excise duties, value added tax. This tax is levied as a percentage added to the sale price of goods or services.
Non-Tax Revenue
Refers to revenue collected by government not as a result of taxation but from charging fees in return for government services such as payment for user fees or other government services.

Court fines and motor vehicle fines.

Expenditure
What is your understanding of the term expenditure in context of government budget? Name the 2 broad types of expenditures in a public budget.

This component refers to government’s spending or outlays. Government may spend its resources to procure goods and deliver services, to service debts and make investment. In a nutshell, expenditures are made to fulfil government obligations. Expenditures may pay for obligations incurred in previous years or in the current year. The government expenditures are of two categories distinguished as capital or development and recurrent.

Capital expenditure
Sometimes called development budgets, capital expenditures are investments in physical assets, such as roads and buildings that can be used for a number of years. It is capital because it is normally a once-off expenditure within a limited period in time and is designed to finance projects such as the construction of hospitals, schools and other assets of government.

Recurrent expenditure
These are current expenditures such as spending on wages, benefit payments and other goods or services or government operational costs in general.

They also include statutory expenditures incurred by government to cover statutory obligations such as interest on official debt, pensions, gratuities, refunds and repayments and the presidency or in the case of Swaziland the Royal Family.

Budget Deficit and Surplus

What is your understanding of the term budget surplus and budget deficit?

Is a budget deficit good or bad? Give reasons to support your answer.

As discussed earlier on in this section, government expenditure can result in either a budget deficit or budget surplus. A budget surplus occurs when Government revenue is greater than its expenditure while a budget deficit occurs when Government expenditure is greater than its revenue. Whatever the case is, a government deficit or surplus will have impact on delivery of social services to the citizens.
Financing Budget Deficit
Budget deficit usually occurs because a government is not able to control expenditure or possibly because it has narrow base for revenue collection.

Domestic Debt
Countries that experience budget deficit often procure loans whether domestic or foreign to meet the balance of payment (Budget deficit). Loans in whatever form, domestic or foreign increase Government’s debt burden and leaves fewer resources for social spending. With domestic borrowing, Government competes with the private sector for finance, thereby reducing the amount available for borrowing by the private sector (crowding-out the private sector).

Foreign Debt
Foreign debt on the other hand increases Government’s foreign debt burden. While foreign loans provide more money for spending in the short term, foreign debt repayments take away needed resources for social spending.

Grants and Foreign Aid
Sometimes governments may also receive grants or foreign aid whether in the form of concessionary loans with low interest or pure grants. This too does not come without costs. Often times, such aid or grants come with stringent economic conditionalities, which in turn lead to other social and economic impact on social spending.

Issue of new currency
The government can also finance a budget deficit by selling securities to the Reserve or central Bank, which in turn prints new currency for purchases. This is dangerous in that it can lead to inflation.
Group Exercise: Loans as a tool to finance budget deficit!

Some people say although loans are bad in themselves, it is permissible for governments to procure loans to finance budget deficit in as along as the countries in question can sustain that. However, once the debt of a country becomes unsustainable, the government must institute measures to curb further borrowing, be it domestic or foreign.

Do you agree with this statement? And why?

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How can governments curb further borrowing to finance budget deficit?

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Unit 4:

Developing continuous Agricultural Budget work

Activity:

Objectives

A. Share what works when it come to the guiding principles of effective budget advocacy work
B. Identify gaps in terms of individual/CSO/Coalition capacity to conduct effective budget advocacy work

Guiding principles for CSOs involvement in budget monitoring and policy accountability

The survey of CSOs good practices for their involvement in budget monitoring and policy accountability provides the following guiding principles:

1. Commitment. The CSOs to succeed must have strong and committed leadership that has clear goals and strategies for active involvement in the budget process.

2. Rights. The CSOs can perform well if they have rights to access information, provide feedback and can freely and actively participate in budget policy making that is firmly grounded in law or policy. Government obligations to respond to citizens when exercising their rights must also be clearly stated.

3. Clarity. The CSOs should be able to set their objective for, and limits to, their active participation in the budget process. The respective roles and responsibilities of citizens (in providing input) and government (in making decisions for which they are accountable) must be clear to all.

4. Time. CSOs must be familiar with the Budget Cycle so as to be able to participate effectively in all stages. CSOs should engage themselves in the budget process as early as possible to allow greater range of policy solutions to emerge, including those related to resource allocations and to have a greater chance for success. Adequate time must be available for participation to be effective. Information is needed at all stages of the budget cycle.

5. Objectivity. Information provided by Government officials during the budget process should be objective, complete and accessible. All citizens should
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have equal treatment when exercising their rights of access to information and participation.

6. Resources. CSOs should have adequate financial, human and technical resources in order to be successful in participating effectively. CSOs should try to obtain appropriate advocacy skills, through training and experiential learning from other country CSOs.

7. Co-ordination. Individual CSOs should be co-ordinated effectively (e.g. under an apex CSO) in order to enhance knowledge management, ensure policy coherence, avoid duplication and reduce the risk of “consultation fatigue” among citizens and CSOs.

8. Accountability. The Government has the obligation to account for the use they make of citizen’s inputs received through budget feedback, public consultations and active participation of CSOs. Measures to ensure the budget process is open, transparent and amenable to external scrutiny and review are crucial to increasing government accountability and CSO involvement effectiveness.

9. Evaluation. The CSOs need the tools, information and capacity to evaluate budgetary performance. Where these are lacking training is important to make the CSOs effective in their engagement in the budget process.

Adapted from IDASA Economic Governance Program-Budget Analysis Module developed by Russell Wildeman and Thembinkosi Dlamini.