

### Training of Trainers on "Bridging Research and Policy Through Evidence – Based Policy Advocacy "

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### 6 Steps









### Working with complexity: Six steps to maximise the impact of research on policy and practice

Enrique Mendizabal and John Young, ODI, London

RAPID's work on the research-policy interface has shown that it is complex. multi-factorial, non-linear, and highly context specific. What works in one context may not work in another. Developing effective strategies in complex environments is not straightforward. Simple tools such as cost benefit analysis, logical frameworks, traditional project management tools and others may not work as they fail to take into account the existing complexity. This paper describes how a series of tools can be used in



sequence to develop strategies to maximize the impact of research-based evidence on policy and practice. It draws on concepts of complexity<sup>1</sup>, on outcome mapping tools developed by the International Development Research Centre<sup>2</sup> and tools for policy engagement assembled and developed by the ODI Research and Policy in Development Programme<sup>3</sup>, which have been field tested through over 30 workshops and training courses worldwide.

Starting from an intention to use some research-based evidence to promote of An Analytical Framework a specific policy or practice, the first step is to map the policy context around that specific policy issue and identify the key factors which may influence the policy process. The RAPID framework4 provides a useful checklist of questions for this, including questions about the key external actors (What is their agenda, and how do they influence the political context?); the political context itself (Is there political interest in change, Is



there room for manoeuvre, How do policy makers perceive the problem?); the research-based evidence (Do you have it? Is it credible, Is it contested?); and the other stakeholders (Who else can help to bring it to the attention of policy makers? Who are the key organisations and individuals? Are there existing networks to use?). A range of other more sophisticated context mapping tools are also available. Many of them are described in Mapping Political Context: A Toolkit for Civil Society Organisations (Hudson et al, 2006)5.

The second step is to identify the key influential stakeholders. RAPID's 📷 Taking AUM. Alignment, Interest and Influence Matrix (AIIM) can be used to map actors along three dimensions: the degree of alignment with the proposed policy (on the y axis), their level of interest in the issue (on the x axis), and their ability to exert influence on the policy process (on the z axis - or by otherwise indicating their degree of influence on the 2-dimensional matrix). Actors who are highly interested and highly aligned should be natural allies



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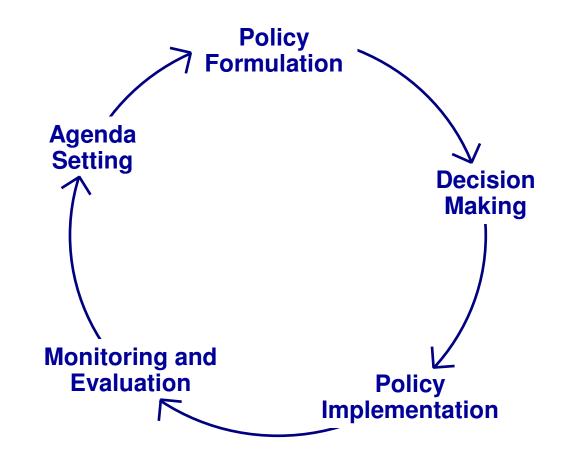
The third step is to identify the changes needed among the key stakeholders if they are to support the desired policy outcome. Outcome Mapping<sup>6</sup> emphasizes that long term impact only occurs through behavior change that surpass the life-time of the project. Focusing on those actors it is possible to influence it is important to describe as precisely as possible their current behavior, the behavior that is needed if they are contribute to the required policy process (the "Outcome Challenge") and short and



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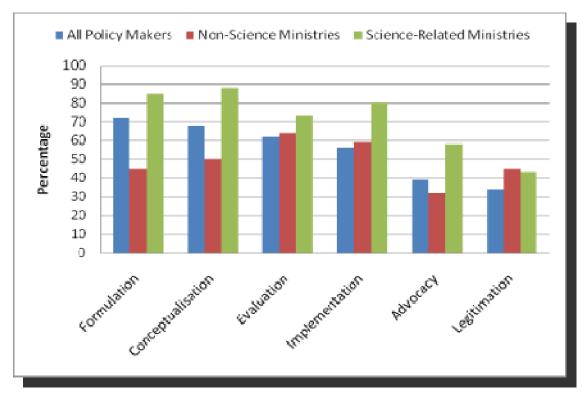






# The policy cycle

# Policy-makers use scientific information at various stages of the policy cycle

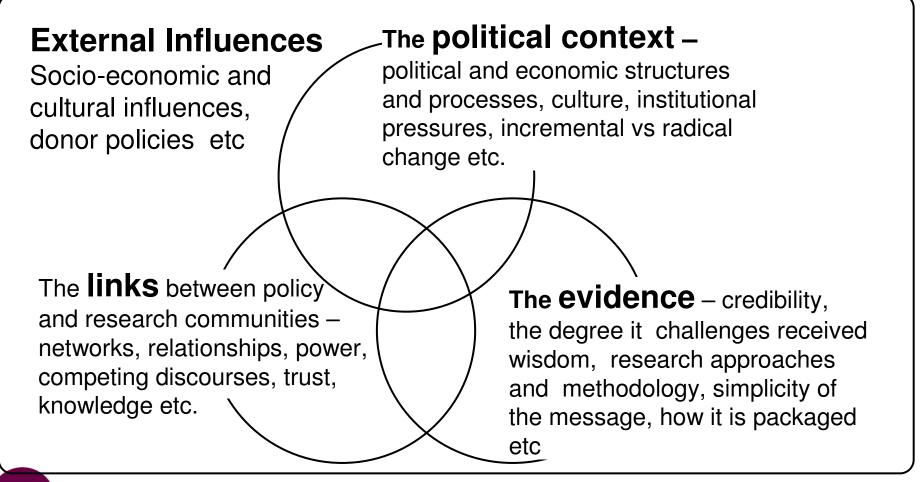




Jones, N. et al (2008) <u>Political science? Strengthening science–policy</u> <u>dialogue in developing countries</u>. ODI Working Paper 295.



### The RAPID Framework







# Policy Organisation Map

Actors	Policy Formulation (levels of power In backets, 1-low; 5 -high)	Policy implementation (levels of power in backets, 1-low; 5 -high)		
Government				
The Council of Ministers (added after)	Coordination among economic ministries (5)			
Social Fund for Development	Role includes coordination among SME stakeholders; developing and issuing SME law and strategies; national and international networking; fundraising issues.(5) (Research)	Providing SME services – including financial services, training, providing information. (5) (Research)		
Ministry of	SME competitiveness strategy (5)	Implementing policies (5)		
Finance	(Research)	(Research)		
MOFTI	Export promotion strategy (5) (Research)	Implementing policies (5) (Research)		
Ministry of Investment	No direct role (0)	Particiapte in one-stop-shop model (5) (Research)		
Political Society				
The National Democratic Party – Economic Committee	<ul> <li>Formal:</li> <li>Develop policy issues &amp; make recommendations (4)</li> <li>Raise recommendations to People's Assembly (4)</li> <li>Informal:</li> <li>Advocacy (5)</li> <li>Support for policies due to large representation in People's Assembly (5)</li> <li>(Research)</li> </ul>	NA (0)		
Shura Council – Economic Committee	<ul> <li>Formal:</li> <li>Discuss laws &amp; Make recommendations for amendments (2)</li> <li>Informal:</li> <li>Prioritize issues (35)</li> <li>Good quality of contributions made (due to composition of council) (5) (Research)</li> </ul>	NA (0)		
People's Assembly – Economic Committee	<ul> <li>Formal:</li> <li>Deliberate on research and recommendations (4)</li> <li>Make recommendations to People's Assembly (5)</li> </ul>			



Small and Medium Scale Enterprise Policy Programme. Ministry of Finance. Egypt. www.sme.gov.eg

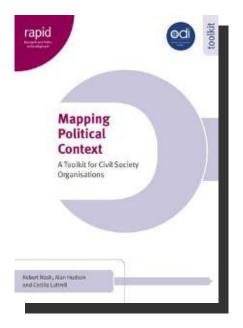




## Other tools

- Civil Society Index (CIVICUS)
- Country Policy & Institutional Assessment (World Bank)
- Democracy and Governance Assessment (USAID)
- Drivers of Change (DFID)
- Governance Questionnaire (GTZ)
- Governance Matters (World Bank Institute)
- Power Analysis (Sida)
- World Governance Assessment

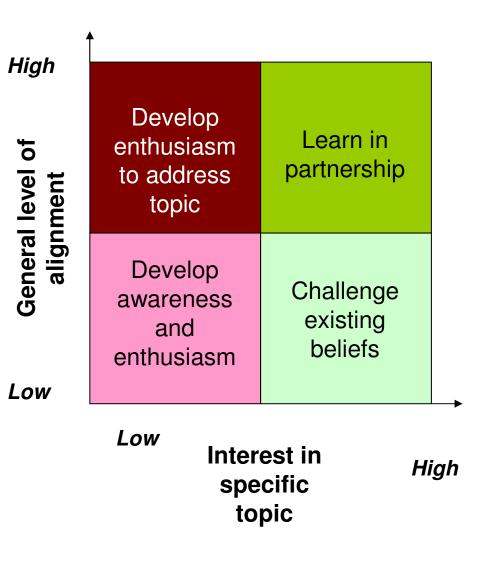






## The AIIM Matrix

- Identify all stakeholders
- 2. Map them onto the alignment / interest matrix
- 3. Identify who has power
- 4. Identify who you can influence

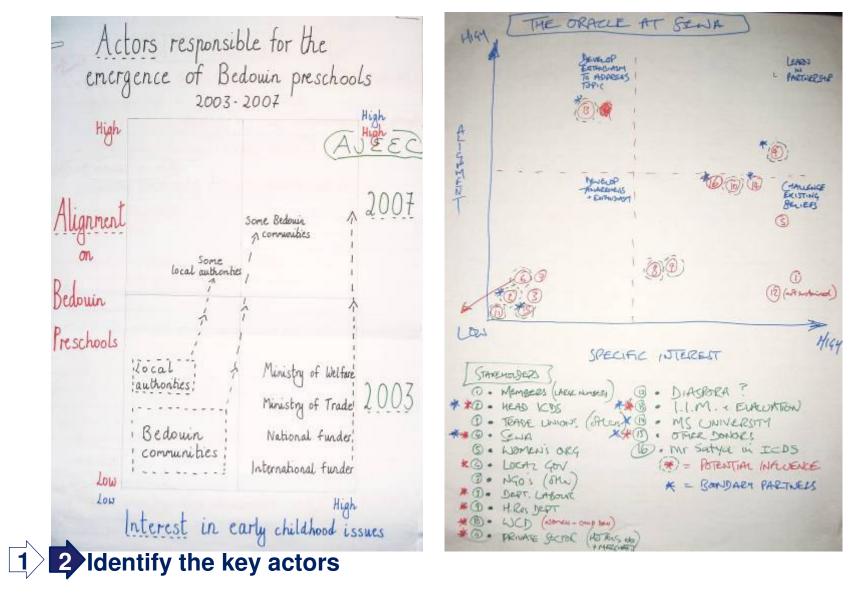


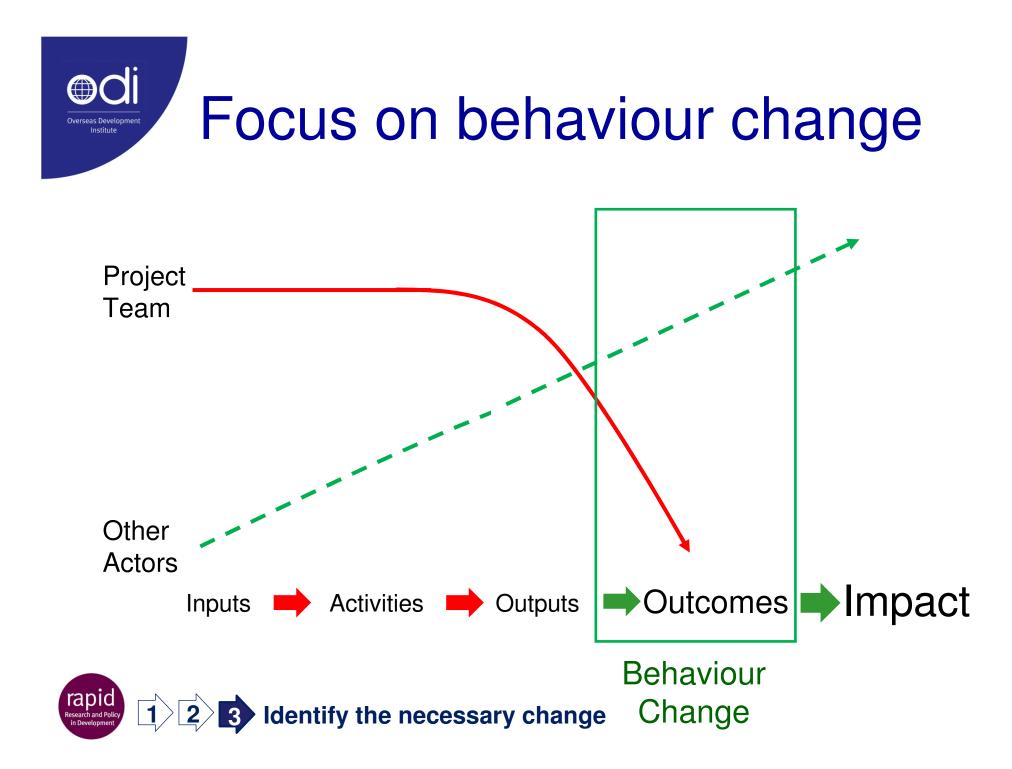




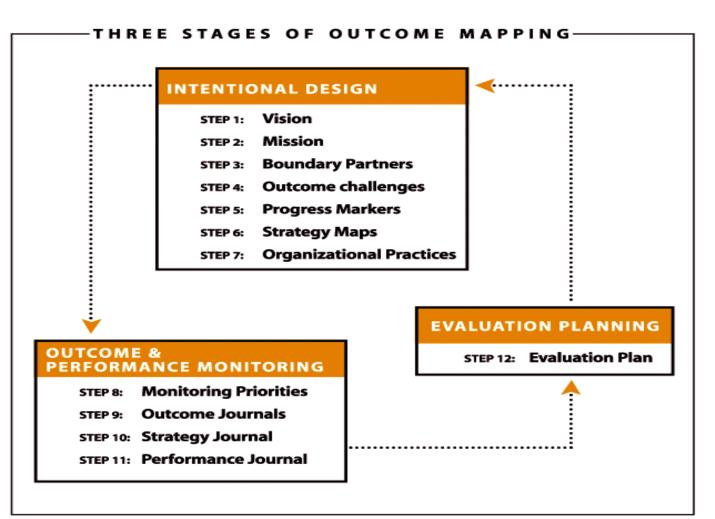
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### AIIM: some examples





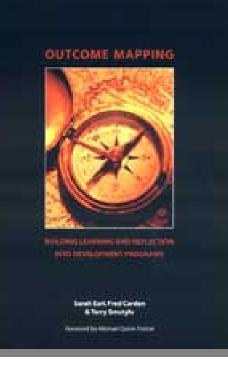




**2 3** Identify the necessary change







OUTCOME MAPPING: Building Learning and Learning and Reflection into Development Programs Sarah Earl, Fred Carden, and Terry Smutylo

http://www.idrc.ca/en/ev-9330-201-1-DO TOPIC.html





rapid Research and Policy in Development

**23Develop** a strategy for change

Total = ?



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# **SWOT Analysis**

- What type of policy influencing skills and capacities do we have?
- In what areas have our staff used them more effectively?
- Who are our strongest allies?
- When have they worked with us?
- Are there any windows of opportunity?
- What can affect our ability to influence policy?



**2345** Ensure you have the necessary capacity

Overseas Development Institute

Research and Policy in Development

### **Competencies Framework**

_						
	Strategy Development	Learning-oriented Management Techniques	Collaboration Mechanisms	Knowledge Capture and Storage	Knowledge Sharing and Learning	Resource Mobilisation
Bai 1		Knowledge and learning viewed with scepticisms. Management think learning leads to lack of accountability. 'Knowledge is power' at the highest levels of the organisation.	Knowledge hoarders seem to get rewarded. There are few cross-cutting collaborations. <mark>Silos are hard to break</mark> down.	Some individuals take the time to capture their lessons, but do so in a confusing variety of formats. Most don't contribute to information assets, and even fewer search them. No exit interviews or handovers take place.	People are conscious of the need to learn from what they do but rarely get the time. Sharing is for the benefit of specific teams.	Organisation realises the importance of mobilising resources, and desires to But has little knowledge about how to and where to find resources
2	Many people say that strategic planning is important to the organisations success, Some people are using some tools to help with learning and planning.	Some managers give people the time to share and learn, but there is little visible support from the top.	Ad hoc personal networking is used by individuals who know each other to achieve goals. This is increasingly recognised as vital to the organisation.	A few groups capture lessons learned after a project, and look for information before starting a project. There is potential access to lots of information, but it is not summarised.	People learn before doing and programme review sessions. They sometimes capture what they learn for the purpose of sharing, but in practice few do access it.	Few people within the organisation know where to find resources but there is little knowledge about how to get them. The organisation tends to wait for others to make resources available. There are some problems in mobilising internal resources –few know how to.
3	There are ongoing discussions about developing a strategy. A wide range of tools are being used across the organisation but these are not shared by all not are necessarily compatible. Project or programme level strategies are being developed.	Knowledge and learning is viewed as the responsibility of a specific role or roles. Some managers talk the talk, but don't always walk the walk!	People are using networks and working groups to get results. Peers are helping peers across organisational boundaries Formal collaboration mechanisms are being created and recognised.	Specific groups take responsibility for their own information and begin to collect it in one location in a common format. Some is summarised for easy access by others. Searching information assets before starting activities is encouraged, as is sharing lessons afterwards. Some handovers take place.	People can find out what the organisation knows. Some examples of sharing and learning are highlighted and recognised across the organisation. Some information translates across boundaries.	Few individuals or team are able to secure resources Most people or teams are well aware of how to mobilise internal resources
4	A strategy exists, but is not integrated or mainstreamed throughout the organisation. A set of tools and guidelines, for following and implementing the strategy is available and understood by most staff. There is still no organisation-wide feedback mechanisms	Management view knowledge and learning as everyone's responsibility. Managers increasingly ask for and exhibit learning approaches. There are rewards and incentives for using such approaches.	Networks are organised around business needs and have a clear governance document. Supportive technology is in place and is well used. External parties are being included in some networks.	Key information is kept current and easily accessible. One individual acts as the guardian of each information asset, and encourages people to contribute. Many do.	'Learning before, during and after is the way things are done around here.' Beneficiaries and partners participate in review sessions. External knowledge plays a role in shaping projects.	The organisation is able to secure external resources and internal resources are being effectively mobilised at all levels – There is clear long term planning for their use
Hig E		Managers and leaders recognise and reinforce the link between knowledge, learning and performance. Managers regularly apply relevant tools and techniques, and act as learning role models. Staff ToRs contain references to knowledge sharing and learning.	Collaboration is a defining principle across the organisation. A range of internal and external collaboration mechanisms operate, with clearly defined roles and responsibilities in terms of the organisational goals. Some have clear external deliverables while others develop capability in the organisation.	Information is easy to access and retrieve. Selected information is sent to potential users in a systematic and coherent manner. High priority information assets have multiple managers who are responsibility for updating, summarising and synthesising information. Exit interviews and handovers are used systematically.	Prompts for learning are built into key processes. Programme <u>staff routinely find</u> out who knows what, inside and outside the organisation, and talk with them. A common language, templates and guidelines support effective sharing.	The organisation has long term plans for the mobilisations of external and internal resources. People and teams at every level know how to access and use them and participate in planning processes

1 2 3 4 5 Ensure you have the necessary capacity



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# M&E & Impact measurement

- 1. Strategy and direction: Logframes; Social Network Analysis; Impact Pathways; Modular Matrices
- 2. Management: 'Fit for Purpose' Reviews; 'Lighter Touch' Quality Audits; Horizontal Evaluation; Appreciative Inquiry
- 3. Outputs: Evaluating academic articles and research reports; Evaluating policy and briefing papers; Evaluating websites; Evaluating networks; After Action Reviews
- 4. Uptake: Impact Logs; New Areas for Citation Analysis; User Surveys
- 5. Outcomes and impacts: Outcome Mapping; RAPID Outcome Assessment; Most Significant Change; Innovation Histories; Episode Studies

**23456** Establish an M&E and learning framework





# Groundwater in India

- to maximise impact of DFID forest/ ground water research project in India
- Researchers, policy makers and activists
- Used framework to analyse factors in water sector in India
- Developed strategy for final phase:
  - Less research
  - More communication
  - Developing champions in regional and national government
  - Local, Regional & National advocacy campaign





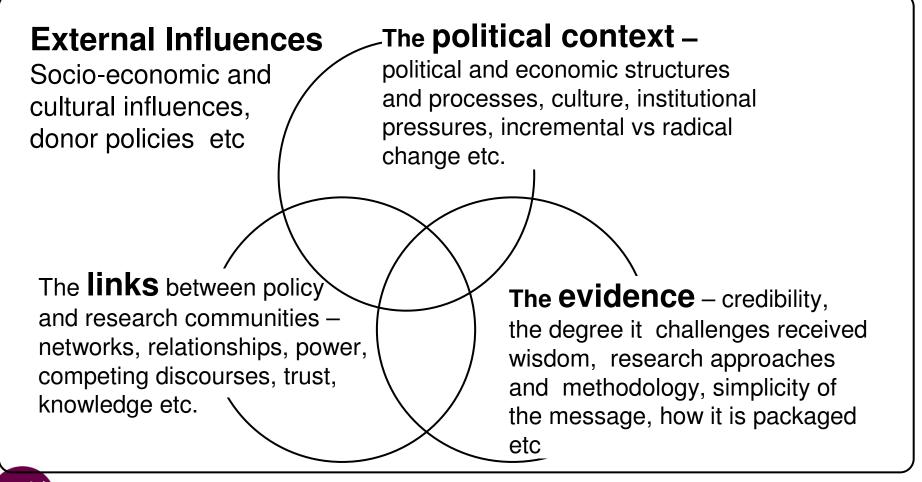








# ODI and poverty / the MDGs







### **Political context:**

• 2008 is just after mid-way point, so opportunity to analyse and refocus through UN-sponsored Call-to-Action

• UK government, among other national governments and international actors, has strong political will towards progressing on MDGs

• One reason for this political will is that many of the MDGs are off-track to meet targets

•UN High-level event in September 2008





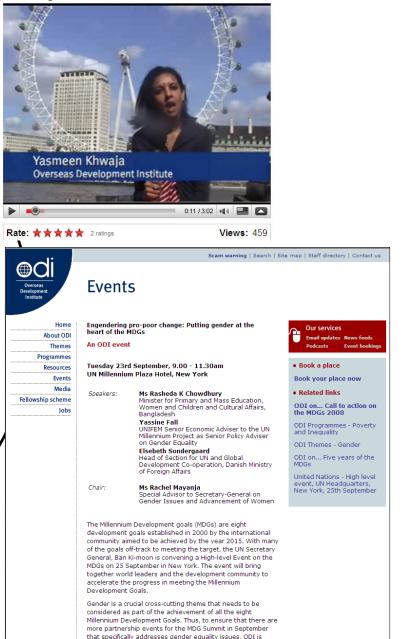
### Links:

•Research undertaken in collaboration with many other eg the GAVI Alliance and Plan International

•Global call to Action Against Poverty timed to coincide with the UN High-level Event on the MDGs in New York in September

•ODI worked with Bangladesh MoEd, UNIFEM, Danish MoFA, & UN to organise a side event.

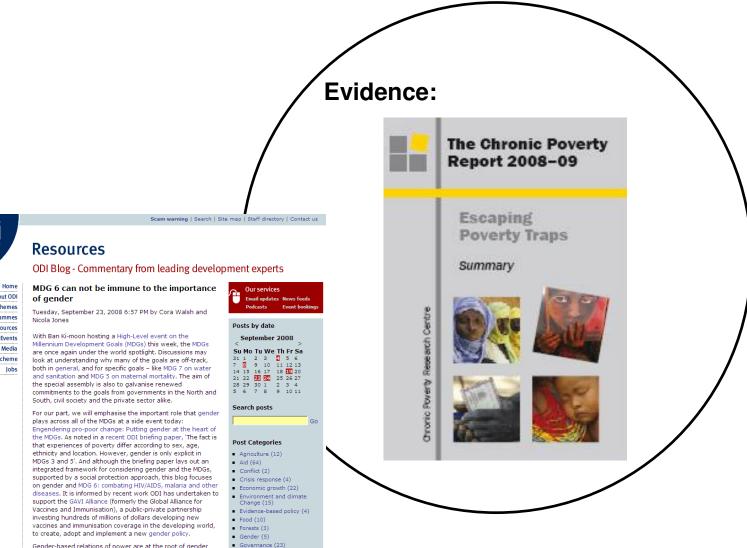




hosting a gender side event with support from the Foreign Ministry of Denmark, ODI has recently launched a new







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Themes Programmes Resources Events Media Fellowship scheme

> Gender-based relations of power are at the root of gender inequality and form one of the most influential social determinants of health. Across the health sector, it is critical to understand the myriad ways in which gender-based social inequalities intersect with economic factors (as well as racial/ethnic hierarchies, caste domination, differences based on sexual orientation and other social stratifiers, such as levels of education) and influence demand for, access to and

- Health (12)
- Humanitarian (11) Inequality (5)
- International institutions (58)
- Livelihoods (6)
- Migration (4)
  - Natural disasters (1)







### **Briefing Paper** September 2008

### 43

### Achieving the MDGs: The fundamentals

Success or failure will be determined by underlying issues

he Millennium Development Goals (MDGs) represent the most determined effort in history to galvanise international action around a common set of development targets (Box 1). Their success or failure will have immense consequences, not only for the world's poor, but also for the credibility of collecfive action by the international community. The

between social and economic development,

and between public services and economic

growth. Many developing countries see

economic growth as the main way to reduce

poverty, following strong role models in East

and Southeast Asia. The shift of control of the

development agenda from donors to the gov-

emments of poor countries through the align-

ment and harmonisation of aid (Booth, 2008)

and the development of policy processes such

as Poverty Reduction Strategy Papers (PRSPs),

should, in theory, facilitate greater southern influ-

It is clear that performance on the MDGs is

mixed - with some countries doing very well, oth-

ers less so, and a few doing badly. In general, sub-

Saharan Africa is lagging behind on all the goals,

and South Asia on those relating to human devel-

opment. However, seeing the lack of progress as a

particularly 'African' problem is misleading. Most

of the poor live in South Asia (CPRC, 2008) and

many are in large middle-income countries.

Then there are specific MDG targets that are prov-

in ghard to reach in many developing countries.

ence over such debates.



Despite the feminisation of poverty, most of the MDGs are 'gender blind'

#### Hard to reach targets

Targets that will be missed include those for sanitation, which lags behind water in both funding and attention. MDG7 includes the target of halving the proportion of people without proper sanitation by 2015. Between 1990 and 2006, the proportion of people worldwide without improved sanitation decreased by only 8 percentage points. At this rate, the world will miss the target by over 700 million people. The lowest coverage is in sub-Saharan Africa, where only one-third of the population uses improved sanitation (WHO/UNICEF, 2008). The technology on sanitation is in place; it is the supporting political energy that is indeficit.

When it comes to MDG5 - improving maternal health - the track record is dismal. The target is to reduce maternal deaths by two-thirds by 2015. Yet, more than half a million women still die every year as a result of complications during pregnancy and childbirth. In parts of sub-Saharan Africa, more than 900 women die for every 100.000 live births, compared to just 8 per 100,000 in the industrialised world (UNICEF, 2007). The world's greatest health disparity could be linked to the fact that around

#### Key points

- There are concerns that the MDGs are failing to protect the most vulnerable. A new MDG on social protection may be needed
- Fundamentalissues will determine whether or not the MDGs are achieved, including gender, the divide between the human itari an and development agendas, and economic growth It is essential to work with, rather than against, the

southern political and social 'grain'

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MDGs are about basic economic and social rights for all, with clear targets to be reached by the year 2015. They may, however, seem presumptuous to those working in development, appearing disconnected from real life and riding roughshod over context. The challenge is to inspire public and professionals alike by linking the MDGs to leading global development debates. One of these debates concerns the balance







### Opinion September 2008

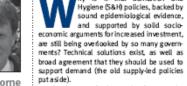
109

### Sanitation and the MDGs: Making the politics work



Peter Newborne

Progress on



sanitation requires a better un derstanding of how to combine sound policy-making and astute politics'



Between 1990 and 2006, the proportion of people, globally, without improved sanitation decreased by only 8 percentage points. At that rate, says the Joint Monitoring Report

alarming lackof progress in sub-Saharan Africa (Boxs). Recent research suggests that the problem

lies in failures in sanitation policy-making.

(IMP), the world will not achieve even half the

MDG sanitation target by 2015, and miss the

target by over 700 million people. The lowest

only one-third (31% according to the average

Practice Learning in Ethiopia and the Nile

coverage is in sub-Saharan Africa, where

figure cited by the JMP) of the population

Policy-making: An example

uses improved sanitation.

Box 1: Global sanitation progress

Development Goals (MDGs).

#### Oversees Development Institute

ODI is the UK's leading independent think tank on international development and humanitarian is sues.

Obl Opinions are signed pieces by ODI researchers on current development and humanitarian tooks. This and other ODI Opinions are available from www.odi.org.uk

hy is it that Sanitation and Region) carried out research on an example Hygiene (S&H) policies, backed by of successful sanitation policy-making by the sound epidemiological evidence, government of a region in Ethiopia, in the and supported by solid socio-Southern Nations, Nationalities and Peoples' region (SNNPR). The strategy of the regional government represented a shift to a new approach that encouraged households to construct simple latrines from locally-available materials at 'low-cost'. Hardware subsidies, e.g. giving households sanitation items such as concrete latrine slabs, were abandoned. In What is more, the international community has an agreed goal: to halve the proportion the study areas, the new approach resulted of people without access to safe drinking in a substantial increase in the number of water and improved sanitation by the year household latrines in the space of just three 2015, a target under Goal 7 of the Millennium years (2003-2006) - including a leap in

coverage from 16% to 94% in one district, Yet, progress towards the sanitation tar-Mirab Abaya, and from 10% to 69% in Alaba get is too slow, as the 2008 Joint Monitoring district. Programme (MP) report, 'Progress on Drinking To see how policy-making was conducted, Water and Sanitation: Special Focus on the study investigated policy content, context Sanitation' states: 'the world is not on track and process, consulting key S&H (and water) to meet the sanitation target? The message is actors involved in the initiation, formulation, dear, as the report says: 'We need to greatly communication and implementation of the accelerate progress in sanitation.' & notes an policy.

> Experience in the south of Ethiopia shows how government can achieve results by placing sanitation policy high on the political agenda. Three features of this approach are pointers to successful sanitation policy-making.

#### A sound strategy ...

Sanitation and Hygiene became part of a package for basic community health, comprising seven out of 17 items in the Ministry of Health's health extension programme, which included a strong preventive element. Strong leadership was provided by the Head of the Bureau of Health (BoH) and his team of senior civil servants and health officials were open to the preventive approach. The S&H strategy was manageable within existing financial resources (the low-cost element). and administratively feasible - in essence, via In 2007, ODI and its partners in the RiPPLE existing government structures, with the addi-Programme (Research-inspired Policy and tion of community health promoters.



### Conclusions

- The 6 steps approach works well if you have a clear policy message and policy objective.
- Need to chose an appropriate approach for your own research.
- Will be doing that today / tomorrow & trying out some of the tools:
  - Mapping the context
  - o Identifying the key stakeholders
  - Developing a strategy
  - Communication & M&E









#### Working with complexity: Six steps to maximise the impact of research on policy and practice

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medium term intermediate behaviours (or "Progress Markers") which can be monitored to ensure the priority stakeholders are moving in the right direction and responding to the efforts of the programme. The short term behavior change is usually a direct reaction to project activities, the



# Your approach to policy influence



## Your approach

- Work in groups of 4-5
- Answer the following questions (35 minutes)
  - What approach do you take to influencing policy/advocacy
  - How does your approach compare to the steps we have outlined
    - Similarities
    - Differences
  - How can the steps we have outlined be improved so it is relevant to your context



Present back to the wider group + plenary discussion (25 minutes)