Working paper 395

Monitoring and evaluation of policy influence and advocacy

Working paper 395

Monitoring and evaluation of policy influence and advocacy

Josephine Tsui, Simon Hearn, and John Young

Abstract

Policy influence and advocacy are increasingly regarded as a means of creating sustainable policy change in international development. It is often also seen as a difficult area to monitor and evaluate. Yet there is an increasingly rich strand of innovation in options to monitor, evaluate and learn from both the successes and failures of policy influence and advocacy interventions. This paper explores current trends in monitoring and evaluating policy influence and advocacy; discusses different theories of how policy influence happens; and presents a number of options to monitor and evaluate different aspects of advocacy interventions. Case studies describe how some organisations have used these options in practice to understand their impact and improve their advocacy strategies.

Acknowledgements

Table of contents

Abbreviations

CDKN   Climate and Development Knowledge Network

EDCSP   European Development Cooperation Strengthening Programme

GPA   Global Policy Advocacy

M&E   Monitoring and evaluation

MCDA   Multi-criteria decision analysis

ODI   Overseas Development Institute

QCA   Qualitative Comparative Analysis

RAPID   Research and Policy in Development programme

SNA   Social network analysis

Introduction

International development organisations are increasingly turning to policy influence and advocacy work as a means of realising sustainable, transformative change. As advocacy work increases in prominence, organisations are also looking for ways to monitor and evaluate the changes they are hoping to produce.

This ODI Working Paper presents a comprehensive review of the theory and practice of monitoring and evaluating advocacy and policy influence. It begins with a summary of the key debates in the field to define what makes the monitoring and evaluation (M&E) of advocacy distinct from other kinds of M&E. It presents different frameworks that are used to understand the policy context, advocacy interventions and the influences that these have on policy. Finally it presents a number of practical tools, methods and approaches that are commonly used for the M&E of advocacy. Some of these approaches are explored in practice through six case studies.

This working paper was commissioned by the Bill and Melinda Gates Foundation to inform their measurement and evaluation work around global policy and advocacy. The Foundation's Global Policy and Advocacy (GPA) division supports a wide range of foundation interests (e.g., Agriculture, Vaccine Delivery, Family Planning, Polio etc.) primarily by creating effective policy and advocacy strategies, leading foundation engagement on a number of important cross-cutting issues, such as aid reform, and coordinating engagement strategies in the most important donor and developing country geographies.

The paper builds on preparatory policy briefs produced for the Foundation's 'Monitoring and Evaluation of Policy and Advocacy Convening' on the 10th and 11th of December, 2013.

Before you start

Before diving into the tools and options for understanding policy influence and the M&E of advocacy, it is useful to think through the following five stages[1] of planning an M&E system for an advocacy intervention.

1. **How do you FRAME the M&E: Why are you monitoring and evaluating, for whom, and on what basis?**

For M&E findings to be useful, the process has to be driven by an explicit and commonly understood purpose. Be clear in advance who are the users of the M&E data, analysis and findings and how they will use them. Chapter 1 describes how thinking about the purposes of M&E has evolved, from a sometimes 'tick box' approach to donor accountability, to an approach which puts equal emphasis on learning and accepts the role of failure and mis-steps as a valid learning tool. Other

---

[1] Based on the BetterEvaluation Rainbow Framework: http://betterevaluation.org/plan

common purposes that go beyond the accountability and learning purposes include increasing knowledge, building capacity, trust and allegiances.

2. **How do you DEFINE what you are monitoring and evaluating: What is the intervention or set of interventions and how is it understood to work?**

Whether you are planning or commissioning an evaluation or designing an M&E system, one of the first tasks is to define what is to be evaluated and how it is understood to work. For advocacy, this means defining the strategies, the activities, the outputs and the intended outcomes – all of which need to be monitored and evaluated to some extent.

Chapter 2 presents many approaches to understanding and defining how your advocacy intervention will achieve its aims. The policy and political economy context frameworks in section 2.1 will form the basis of your understanding about how policy develops and changes in your context, who is involved and how. The advocacy intervention frameworks in section 2.2 are the menu from which you decide the appropriate mix of tactics for engaging in this context to influence the right people in the right way and to achieve your ultimate aim. The influence frameworks in section 2.3 can be used as models to define the expected short-term and long-term outcomes.

3. **How do you DESCRIBE what happened: Activities, outputs, outcomes, context?**

There are many options for monitoring an advocacy intervention's strategy, activities, outputs and intended outcomes, some of which are presented in Chapter 3: theory of change, logical framework, outcomes hierarchy, impact pathway, programme theory and logic model. They all share the same broad purpose: to develop a shared, explicit understanding of how things are understood to change, how the intervention will engage to support certain changes and/or inhibit others, what causal steps are involved, what assumptions are being made about this and what rationale we have for making these causal claims. Developing some kind of theory of change not only helps in planning the intervention strategically but it will also help prioritise evaluation efforts.

The most basic M&E system is one that can tell you at any given time what has been done by the programme, where, when, with whom, what the aim was and what actually happened. More sophisticated M&E systems will also be able to tell you the effects of those actions – how did key actors react? what kinds of changes were observed? what kind of secondary or knock-on effects have been observed – positive or negative? In addition to this, a good M&E system will also provide information on the context within which these activities were conducted or change was observed.

This kind of descriptive data is essential for the majority of purposes of M&E and should be the minimum standard for most M&E systems. Section 3.2 in Chapter 3 presents a number of techniques that are commonly used for collecting and analysing descriptive data, for example, journals, logs, dashboards, bellwether interviews, most significant change and rubrics.

4. **How do you understand what CAUSED the observed outcomes and why they happened?**

Sometimes you want to do more with M&E than just answer questions about what happened: you want to go further to understand what caused the observed outcomes and impacts, and to what extent the advocacy intervention contributed to the

outcomes. This kind of analysis is usually reserved for evaluations, whether internal or external, but there is a rudimentary level of informal analysis of causes that goes on throughout the monitoring process – as team members, managers and partners meet and discuss progress and make sense of the data being collected. The methods and approaches presented in section 3.4 of Chapter 3 are the most commonly used for understanding causes.

In order to understand causes in advocacy, it is recommended to spend time at the start thinking through a theory of change – as discussed in point 2 above. Having a theory to compare data against means it is easier to gather the right kind of data to establish causal relationships, thereby increasing efficiency.

5. How do you ASSESS the overall success?

Evaluations are ultimately about making an evidence-based judgement about the merit, worth or performance of a programme or intervention. Synthesising the evidence from the kinds of analyses described in points 3 and 4 above is a crucial part of the evaluation. An evaluator or programme officer may have to weigh up successes in some parts of the advocacy initiative and failures in others. They may be confronted with partial successes where the desired outcome has only partly been observed; or it was observed but there was insufficient evidence to demonstrate contribution from the intervention; or maybe it took longer than expected with a lot more resources used to produce the outcome. In each of these scenarios, careful assessment is required to make an overall judgement. The ambitions and criteria used for this should be considered part of the development of an M&E system because different synthesis approaches will have different requirements. The case studies in Chapter 4 present some examples of how evaluation data from different projects was synthesised in order to draw conclusions about the success of the intervention.

How this paper is organised

Chapter 1 provides a general overview of current trends in monitoring and evaluating advocacy and policy influence, including current debates on the purpose of M&E. The chapter also covers the influence of complexity theory on M&E of advocacy and the tension between attribution and contribution: how far a given change can be attributed to one intervention, or whether it is better to speak only of an intervention's contribution to a change.

Chapter 2 provides a set of frameworks for understanding the theory of policy influence, covering:

- frameworks to understand the context of policy influence
- frameworks to understand tactics and guide intervention planning
- frameworks to understand the process of influence: how change occurs.

Chapter 3 covers options and considerations for monitoring and evaluating advocacy. The chapter presents options for the M&E of all four areas:

- evaluating the strength of an intervention's theory of change or strategy
- monitoring management and outputs to find out how well an organisation is carrying out its plan
- tracking outcomes and impact: how much change has occurred
- understanding causes: how the intervention might have caused or helped to cause the observed changes and the other factors that were influential.

To help the reader understand how some of the M&E options presented could be implemented in practice, **Chapter 4** describes six case studies of how organisations have evaluated different kinds of advocacy and policy influence programmes.

1 Current trends in monitoring and evaluating policy influence and advocacy

This chapter will provide an overview of the characteristics of policy and advocacy activities and the challenge these pose for monitoring and evaluation. In part one we will define what we mean by policy and advocacy, the nature of policy and advocacy programmes and the evolution of M&E in policy and advocacy. In part two we will outline some of the current issues and debates: the purpose of M&E in policy and advocacy; how to measure success; the debate between attribution and contribution; and using M&E to understand causes. These sections will conclude with a summary of the relevance of M&E of advocacy for an organisation's strategy.

1.1 Policy influence and advocacy and M&E

1.1.1 What is policy influence and advocacy?

Policy influence and advocacy can encompasses a wide range of activities. In this paper, policy influence and advocacy is defined broadly as an intervention intended to catalyse, stimulate or otherwise seed some form of change through different forms of persuasion (Start and Hovland, 2004). As this paper addresses a broad range of activities, we will be using policy influence and advocacy interchangeably.

According to Start and Hovland (2004), policy influence interventions can be vary in many approaches and can operate on various continuums. Approaches can include:

- **Changing policy and/or changing behaviour**: some advocacy is aimed at changing policy or preventing change to policy; other approaches are about changing the behaviour of the general public (e.g. public health campaigning).
- **Direct and/or indirect**: advocacy can aim at changing decision-makers' beliefs, opinions, behaviours and policies, either directly or indirectly via other actors who might have influence on decision-makers (e.g. the media, voters).
- **Inside track and/or outside track**: advocacy from within by working with decision-makers or from outside by confronting, exposing or challenging decision-makers.
- **Formal and/or informal**: advocacy can work through formal/official channels such as policy reforms, but sometimes advocacy finds alternative ways through informal routes such as relationship-building.

The different combination of the above approaches give us different types of advocacy interventions. For example advocacy formats that use direct and formal channels and work on the inside track tend to be advising forms of advocacy, while those that use direct and formal channels but work on the outside track tend to use public campaigning as its intervention of choice. For example, the Department for International Development (DFID) suggests that rather than describing DFID's 'influence' on other organisations, terms such as advice, negotiation, policy dialogue or engagement may be more palatable (DFID, 2013) as talking about 'advocacy' and 'influencing' can be politically sensitive in different contexts.While different interventions such as negotiation, policy dialogue, policy engagement all vary in how they operate, they all have the common characteristics of policy influence.

1.1.2 The nature of advocacy programmes

Advocacy is different to conventional programming. For advocacy interventions simple, replicable solutions that can be 'rolled off the shelf' do not exist. You cannot predict with the same kind of confidence whether an advocacy solution will give you the desired outcome.

There is general consensus that conventional management and assessment approaches will not work due to the complexity of the change processes with which advocacy interventions engage. Coffman reminds us, in the UNICEF toolkit for Monitoring and Evaluating Advocacy, that:

> Since advocacy is often a long-term effort involving many actors, it requires an M&E approach that recognizes the unique, collaborative and complex nature of advocacy work. Advocacy occurs in a dynamic and fast-changing environment, which requires flexibility and at the same time makes monitoring and evaluation all the more essential. (Coffman, UNICEF, no date, 1)

The language of complexity is often used to describe advocacy work because it provides a useful way of thinking about how advocacy interventions engage in the complex world of policy change. Funnell and Rogers (2011) describe programmes as being combinations of simple, complicated and complex components, with the balance varying for different types of programme. For example, the hospital-building programme will mostly be simple because there are clear best practices for building hospitals that can be applied. Some aspects will be complicated because, for example, a technical specialist may be required to survey the land to make sure it is suitable. There may even be some complex aspects in weighing up different sites to build the hospital and negotiating between political will, public health needs and community values.

Funnell and Rogers describe seven programme parameters which vary in the level of complexity, and which can help to understand more precisely why advocacy programmes are often described as complex:

- the stability of *objectives* (is your impact goal simple and fixed? Or does it vary over time?)
- *governance* (the number of stakeholders involved in decision-making)
- the *consistency* of implementation (does your intervention need to adapt to changing circumstances)
- how *necessary* it is to produce intended outcomes (are there many different ways of achieving the same impact?)

- how *sufficient* it is to produce intended outcomes (is just one or are multiple activities necessary to produce the required impact?)
- the *predictability* of the change pathway
- and the propensity for *unintended outcomes.*

Most advocacy programmes operate at the complex end of this spectrum as they are by definition working in complex environments. A long line of political and social scientists have described the complexity of policy processes (Kingdon, 1995; Sabatier & Jenkins-Smith, 1993; Grindle and Thomas, 1990; Lindbloom, 1993; Anderson, 1994; Howlet and Ramesh, 1995; Marsh, 1998). Clay and Schaeffer famously describe policy as 'a chaos of purposes and accidents' (Clay and Schaffer, 1984). Most policy and advocacy programmes have multiple objectives which may change at short notice, where it is not always possible to plan interventions in advance, where multiple inter-related interventions are necessary, and where cause-and-effect relationships are unpredictable.

Planning, monitoring and evaluating approaches that require strict adherence to a predefined plan will not work well in these contexts, and neither will those that require standardised implementation approaches or heavy top-down governance. Suitable approaches pay attention to context; start with a testable theory (Reisman et al., 2007); are built on principles of learning, adaptation and reflection (Guthrie et al., 2005); provide real-time feedback (Coffman, 2007); and identify different levels of outcomes, including early or interim outcomes rather than just the 'big win' (ibid).

1.1.3 The evolution of M&E in policy and advocacy

Organisations and donors in the UK began to explore better ways of monitoring and evaluating advocacy in international development during the mid-1990s (Mansfield, 2010). Between 2000 and 2010 the primary organisations researching this field were funded by four US-based foundations for domestic policy (Mansfield, 2010). In 2005 the Innovation Network began an online bibliography spanning more than 100 articles, tools and reports related to advocacy evaluation (Whelan, 2008). In 2007, members of the American Evaluation Association launched the Advocacy and Policy Change Topical Interest Group that has become one of the most active communities of practice on this topic.

Over the same period, donor interest in monitoring and evaluation of international development interventions more generally has increasingly focused on experimental and quasi-experimental impact evaluations. This led to the emergence of organisations such as the Abdul Latif Jameel Poverty Action Lab (J-PAL) and the International Initiative for Impact Evaluation (3ie) dedicated entirely to conducting impact evaluations to measure the effectiveness of aid. However, there is a growing recognition that complex interventions that are transformational are often not amenable to these approaches, and a growing number of practitioners and researchers are identifying and describing alternative approaches that can generate useful knowledge about effectiveness in complex interventions (Stern et al., 2012; Natsios, 2010).

Challenges remain. Many advocacy practitioners believe that advocacy cannot be measured quantitatively (Whelan, 2008; Reisman et al., 2007). Attempts to quantify qualitative information rely on subjective assessments which are not always considered robust (Coe and Majot, 2013). There are strong differences of opinion about what constitutes a reasonable level of scientific accuracy between those who believe that only experimental and quasi-experimental quantitative evidence is

acceptable and those who believe that anecdotal findings are also worthwhile (Reisman et al., 2007: 7).

Despite all the challenges and initial frustrations with approaches and expectations, the persistence of practitioners is paying off. Practitioners are now commonly using similar methods and are gaining confidence. Experts argue that despite the experimentation of methods and tensions in the field, it is possible to measure influence (Tsui, 2013). As Gary Henry, the former co-editor in chief of *New Directions for Evaluation* argues:

> We should not be daunted by methodological challenges of evaluating campaigns. We have to push ahead; we have to try some new things. We have to put data collection strategies into the field even if they are imperfect, try them and work on their development. (Henry, 2002)

1.2 Current issues and debates

While there is an increasing body of knowledge about the monitoring and evaluation of advocacy programmes which are based on strong social science principles (Reisman et al., 2007), and there are an increasing number of guides on how to measure influence (Jones, 2011; Young and Quinn, 2012; Start and Hovland, 2004; Coffman, 2012), four issues dominate the current debate:

- the purpose of M&E of advocacy
- how to measure success
- using M&E to understand causes
- Correlating success.

We will discuss each of these in turn below.

1.2.1 The purpose of M&E of advocacy
There is much literature about the potential benefits of monitoring and evaluation (Preskill and Caracelli, 1997). Much of it focuses on identifying intended users and uses and how M&E information can make a difference to the success of development interventions (Fleischer and Christie, 2009; Guijt, 2008; Coffman, undated).

The tension between learning and accountability is frequently highlighted (Adams, 2007; Coe and Majot, 2013). Organisations often struggle with building M&E systems for donor accountability and then feel that the focus on accountability takes away from the system's usefulness internally. The two priorities often compete for limited resources and can seem to be in direct opposition.

Other authors describe this perceived incompatibility as a myth and suggest that accountability and learning are mutually reinforcing, especially in a complex environment such as those surrounding advocacy programmes. While accountability is generally outcome-oriented, in complex environments learning is very important: 'Accountability can remain outcome-oriented but, because more attention is paid to unpredictability and what can go awry, investing in learning becomes more critical. Expert consultation becomes a joint learning process and expected outcomes may shift as a result' (Guijt, 2010: 11).

Snowden & Boone (2007) suggests the appropriate management style for complex interventions is to use an experimental 'try and evolve' approach, which recognises that even successful interventions will involve mis-steps or mini-failures, and that

identifying and learning from these is essential to guide programming. Similar missteps in a technical programme are often understood as a lack of effective planning and organisation (Adams, 2007; Guijt, 2010; OECD, 2001b).

The environment of advocacy programmes is unpredictable and this should be recognised in M&E plans. Causes and effects are not clearly defined and may change depending on the context and circumstances. M&E within advocacy programmes must have a very strong emphasis on learning, both about the context and the way it is changing, and about the success and failure of interventions.

1.2.2 How to measure success
The literature presents a fairly consistent picture of the difficulties of measuring success in advocacy programmes, generally including some combination of the following (Chapman and Wameyo, 2001):

1. **Causal relationships**: Linking advocacy and outcomes is complex.
2. **Subjective gains**: Defining success is tricky and varies depending on who is asked. The goal posts can often shift depending on the circumstances.
3. **Multiple approaches**: Influencing can be part of many approaches including lobbying, advocacy, or campaigning. It may be difficult to assess which approach leads to impact.
4. **Long horizons**: Influencing work is long term. Change can be slow and incremental.
5. **Changing circumstances**: Because of a fluid environment, work is rarely repeated or replicated and as a result, there is rarely an accumulation of knowledge.
6. **Conflicting political process**: Influencing often means engaging in a process that may have political consequences.

There is a tension between the desire for 'metrics' or quantifiable indicators and the need for usefulness analysis of progress. Many metrics are either too narrow and short term, focusing on activities such as the number of newspaper citations, or too broad or distant, for example changes in policy or legislation (Coe and Majot, 2013; Reisman et al., 2007).

Effective M&E systems in policy and advocacy programmes need to include a combination of approaches to track both short-term programme outputs, and longer term impacts, and crucially to allow some understanding of causality.

1.2.3 Understanding causes
Understanding causes is an essential part of any evaluation exercise, even those assessing the most complex programmes in situations where attribution analysis is impractical. Complexity is not an excuse to avoid answering the challenging questions about what has caused the observed changes, and many practitioners are turning to alternative social science methods to address this. Causation is a complex notion that goes beyond discussions of attribution and contribution and many philosophers and social scientists have argued about it since the time of Compte and Hume (Stern et al., 2012). A recent review of literature has identified four fundamental approaches to understanding causation that extends the ideas of attribution and contribution (Befani, 2012):

- The **regularity approach** makes many observations of cause and effect occurring together and comes to an agreement about the likelihood of causation between the events. The difficulty in advocacy programmes is that there are rarely enough similar events: the fact that a legislator voted in a particular way after a meeting with an advocacy

group is not a strong enough basis for causation, even if we could observe a lot of policy-makers.

- The **counterfactual approach** compares two identical cases where one is subject to the cause and the other is not. Causation can then be measured by the difference between the observed effects in both cases. The problem with this approach is that the intervention and the comparison groups need to be large enough to detect demonstrable differences and they need to be very closely controlled – extremely difficult in the turbulent world of advocacy.

- The **configurational approach** looks for combinations of causes which interact to produce an effect. For example, leaking gas by itself is insufficient to produce fire, as is a lit cigarette, but when placed together the two will produce fire. This kind of approach is well suited to advocacy programmes which frequently include multiple interventions. One method that uses this approach is Qualitative Comparative Analysis, described in section 2.4.

- The **generative approach** goes further than configurational approaches by seeking to identify the specific mechanisms that generate the cause and link them to contextual factors. This approach is extremely important for advocacy given the high context dependency of different influencing tactics, and the multiple interacting factors that can vary to produce different mechanisms. Theory-based approaches such as process tracing and contribution analysis are based on generative approaches and are found to be very effective for advocacy evaluation.

Multiple causation and generative approaches offer a more nuanced understanding of causation that is more appropriate for understanding advocacy interventions. Many of the common methods used to analyse causation in advocacy evaluation, described in section 3.4, are based on this kind of thinking.

1.2.4 Correlating success

Another common tension is attribution versus contribution, which is often debated across the evaluation field. It refers to the extent to which it is possible to measure the effect that a single intervention, programme or organisation had on a particular observed outcome. The terms Attribution Analysis and Contribution Analysis are often used to describe methods to understand each notion respectively. Many of the practitioners writing on advocacy evaluation agree that attribution analysis is mostly unhelpful in advocacy evaluation and some claim that it is not practically possible (see for example: Innovation Network (undated), Guthrie et al. (2005), Aspen Institute (2011), Patton (2008a)):

> Attribution is a research concept that involves proving that *a* causes *b*… This straightforward notion of cause-effect works well for simple, bounded, and linear problems, but does not work well for understanding complex systems where a variety of factors and variables interact dynamically within the interconnected and interdependent parts of the open system. Under such circumstances, we conduct a complex contribution analysis instead of trying to render a simple cause-effect conclusion. (Patton, 2008a)

Many of the authors noted above are commenting on the difficulty of establishing sole attribution in advocacy programmes because of the complexity described in section 1.1.2. There may be cases where it might be possible to determine sole

attribution; for example, in a niche-issue area where there are a small, distinct group of actors involved, where the action of one actor can have an obvious effect and where the counterfactual (what would have happened in the absence of the intervention) is knowable. In the majority of advocacy interventions this is not the case, and the challenges of measuring sole attribution will likely outweigh the benefit.

However, attribution does have an important role to play. In evaluation literature, there is a clear difference between attribution and sole-attribution. **Attribution in its purest sense means an assessment of how much of an observed change can be attributed to the intervention** (White, 2010). To do this requires carefully controlled experiments or quasi-experiments that create or identify comparison examples that can be used to calculate measures of impact.

For example, a controlled experiment can be used to understand the effect of individual tactics. An advocacy organisation might use a particular tactic as a core part of their strategy for most of their campaigns, such as targeted policy briefs. In order to maximise the impact of their policy brief they might want to experiment with different types of brief to find out which factors (e.g. design, message, author, brand, delivery method, length of headline, presence of images etc.) are most important to influencing their key audience. For this purpose, a method that can measure attribution through statistical analysis could be useful. In fact, the Institute for Development Studies and the International Initiative for Impact Evaluation have carried out this experiment (Beynon et al., 2012).

Another example is in measuring the use of media for advocating for healthier lifestyles. The Community Trials Project in the United States is the largest example of such an experiment. The aim here was to assess the contribution of media advocacy in reducing alcohol-related road traffic accidents. They did this by designing an experiment that compared multiple outcomes among populations in areas where media advocacy was in use and comparison populations without media advocacy (Voas et al., 1997).

These kinds of studies are not common, however, and they are only suitable in certain situations. They require a lot of time and money and cannot be implemented in an ongoing intervention. They also require a stable environment with predictable and consistent tactics and fairly short timescales in which outcomes can emerge (Stead et al., 2002). But if the aim is to test rigorously a particular tactic before large-scale implementation, then an approach that uses a form of attribution analysis may be appropriate.

1.3 Conclusion

This chapter has provided an overview of the nature of policy influence and advocacy programmes and the challenge this poses for M&E, as well as some of the current issues and debates.

It has been emphasised that policy influence and advocacy interventions (as defined as any intervention that requires some form of influencing approaches) are different to technical interventions on several issues. Even where technical interventions operate in a complicated environment, generally the link between cause and effect can be predicted and confidently measured. This makes monitoring and evaluating these interventions relatively straightforward. However, advocacy interventions operate in a complex environment where the links between cause and effect are unpredictable and require different forms of analysis before they can be made apparent.

Advocacy and policy interventions face strategic challenges due to shifting goals and allegiances, and tactical challenges due to dense networks and multiple pathways for influence. Many of the results sought by advocacy interventions cannot be predicted ahead of time: the reality of distributed capacities, divergent goals and uncertain change pathways that pervades policy contexts, means that it is often not possible to predefine the course an advocacy activity will follow. So normal approaches to measuring progress along a predefined course may not be possible. This makes it harder to determine what information is most important to focus on for M&E and how data can be collected and analysed. Traditional monitoring and evaluation approaches which rely on a simple linear, cause and effect model with predefined indicators, are simply not adequate in this context.

Despite the complex environments, it is possible to measure policy influencing and advocacy interventions despite despite ongoing tensions in the field. Advocacy requires a "try and evolve" management style with an M&E system that can facilitate learning about the context in question, and about the effectiveness of the strategies and tactics used. M&E systems require the flexibility to be effective and therefore learning and accountability are mutually reinforcing goals.

2 Approaches and frameworks for understanding policy influence

Before we can talk about how to monitor and evaluate advocacy we have to be very clear on its purpose: what are we measuring to determine success? Evaluating advocacy requires well thought-through theories about how interventions are designed to work, how they support or inhibit change and how this will lead to the desired result.

The complexity of policy and advocacy processes makes it extremely difficult to predict or even measure the outcomes of policy and advocacy. Many frameworks and theories have been developed to help people to understand the environment they are operating in and to develop appropriate strategies. This chapter presents three types of framework that offer a way of understanding and breaking down complexity into manageable pieces, which can inform appropriate and practical approaches to monitoring and evaluation. The three types fall into the three spheres presented in Figure 1.

Figure 1: The three spheres of control and their relationship to policy influence
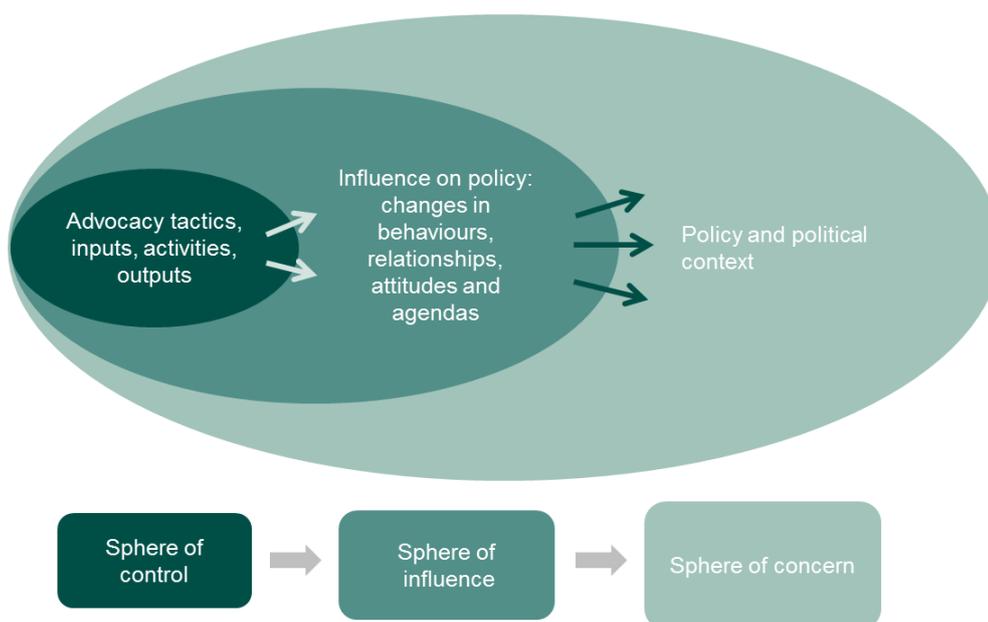
The sphere of influence framework is useful to determine what is and what is not within our power to influence. We can consider activities that are within the sphere of control to be areas where we have complete control over our actions. The sphere of concern on the other hand focuses on activities occurring that we have no control over. They often represent actions taken by others or the results of a cascading set of consequences in the world. The sphere of influence is the area where it is not completely in our control of control but we do have the power of changing the outcomes of the impact. It is useful to think of these three areas when considering frameworks of policy change.

- **Understanding policy and the political economy context:** This is the context in which we are working – the sector, the country or region, the policy issue, the general problem. When trying to understand policy processes we need to understand better the particular dynamics and factors that affect policy in its context. The different frameworks show different ways in which policy is formed and changed through both formal and informal processes, and they explore the range of actors and interests that drive policy. We can draw on these frameworks to understand our context and to analyse how change occurs, how we can act in this context and how we can understand our results.

- **Understanding advocacy tactics**: The sphere of control represents the decisions and results that we have direct control over – our strategy, tactics, inputs, activities, outputs. When considering how to engage in our sphere of concern we need to adopt a more nuanced understanding of when we use different tactics for engaging with, informing and attempting to influence policy in a given context. Certain frameworks help us examine and unpack a range of tactics and policy-influencing activities and the logic that underlies them. We can draw on these frameworks as we design our interventions and use them to track the progress of our activities and the quality of our outputs.

- **Understanding levels of influence**: the sphere of influence is the intersection between the sphere of control and the sphere of concern. The sphere of influence represents all the different effects that our actions can have that are beyond our control – from merely raising awareness on an issue to affecting policy language or steering implementation. Certain frameworks provide a more sophisticated understanding of the different types of effects that different types of interventions have on policy-making and intermediate outcomes. We can draw on these frameworks to explore the relationship between planned tactics and the extent to which they can influence policy, and then design outcomes accordingly.

In addition to helping organisations to construct a theory of change for how their intervention will have the impact they desire, understanding these three spheres helps with evaluating the **strategy and direction** of an organisation or intervention, by defining what is being evaluated and how it is understood to work. The individual frameworks listed under these three spheres are briefly explained in Appendix A. There are many different theories and frameworks that are used to understand policy influence, and this paper cannot hope to be comprehensive; the frameworks that are included were chosen for being widely recognised and for providing a range of different perspectives on the process of policy influence.

2.1 Understanding policy and political economy context: policy development and formulation frameworks

> **What are these frameworks?** These frameworks focus on how policy is developed and formed.
>
> **Why use these frameworks?** These tools will help you characterise your policy context so you can plan the most appropriate tactics.
>
> **When are they useful?** It is useful to use a policy development framework when analysing the context, such as when planning a new intervention or evaluating an existing one.

The first set of frameworks focus on policy development and formulation. The purpose of this section is to understand how policies form within a particular context. This is useful as it is the only way to understand where our efforts can have greatest impact, which tactics are most likely to succeed and where to look for outcomes. Having a firm understanding of policy development frameworks enables effective communication with other practitioners over how you think the context operates. Some of these frameworks operate on an assumed theory and it may be useful to communicate with the rest of the team what the assumptions are. These frameworks should be used when you are analysing the contextual settings when designing a new intervention, or evaluating a past intervention.

While not covering the full field of policy development, the four frameworks we have selected are representative of the evolutionary theories of policy change. Policy change was initially considered a linear, predictable process. This is a useful starting point but does not reflect the entire reality of policy processes. So while the first framework we present describes a linear model of formal policy-making the remaining three frameworks are a selected group that focus on a more realistic and complex model of policy-making. The '7Ps' framework expands on the linear policy processes and looks at six components of policy-making to highlight how multiple relevant aspects must be considered together. The 'five global theories' examines how different assumptions may change how we view policy change. Finally, the 'Context, Evidence, Links' framework was formed to help policy influencers understand the major factors affecting policy-making processes; political context, evidence links and external factors.

The four frameworks are compared in the table below. For an explanation of each individual framework in more detail, refer to Appendix A1.

Table 1: Brief description of policy development and formation frameworks

Framework	What is it?	Why use it?	When use it?
Linear process	A simple linear diagram that broadly describes five stages involved in policy development: agenda setting; policy formulation; decision-making; policy implementation; evaluation.	When decision-making is simple, this framework offers a common language for intervention planning.	When policy change is controlled by one actor; when there are clear and uncontested goals for decision-makers; and when there are predictable processes for decision-making.

7Ps	Expanding on the linear process, the 7Ps adopt a more nuanced approach to policy development which explains the policy process as a circle with six different, interacting elements.	The 7Ps remind us there are multiple aspects of policy development. They all stem from the problem and are all interconnected.	It may be useful to use as a way of framing more complicated policy processes, or when analysing different levels of policy (e.g. local, sub-national, and national).
Five global theories	Five theories of different assumptions of how policy change can occur, from 'large leaps' and 'policy windows', to the influence of 'power elites'.	It is important to be explicit with your assumptions about how policy changes when building a theory of change; and being explicit about assumptions when circumstances change.	When creating tactics to influence different kinds of policy change in different contexts.
Context, Evidence, Links (CEL)	Considers wider political interests and the role of civil society and evidence to create a more holistic approach to understanding how policy changes.	CEL is particularly useful to help understand how information and evidence has been used, shaped or ignored by policy-makers and how it could be used more effectively.	When you need to understand the links between tactics, activities and inputs of an intervention and the corresponding changes in policy.

2.2 Frameworks to guide intervention planning: understanding tactics

What are these frameworks? These frameworks focus on different ways to understand advocacy tactics.

Why use this framework? These frameworks will help you understand, plan and communicate your advocacy and will lead to useful monitoring tools to track performance.

When are these frameworks useful? The best time to use the framework is when a) strategising for a new intervention; and b) trying to understand the strengths and weaknesses of past interventions.

The second set of frameworks focus on planning and implementing advocacy and policy interventions: given the policy context described in the previous section, how do we organise the elements which are in our control (tactics, inputs, activities and outputs) in order to increase our chances of influencing policy? And how do we coordinate our efforts with other people and other organisations? The purpose of these frameworks is to better understand, plan, and communicate our interventions. They are useful when we want to understand the connection between our activities, tactics, outputs and outcomes to policy change.

We present five frameworks, but these are not the only ones available in the field. We have chosen this selection to represent different key areas which could be

explored further. Rather than overwhelming practitioners, these frameworks could act as guides to plan interventions.

The first framework, the advocacy and strategy framework, is a useful tool for considering the advocacy strategy needed to influence various stakeholders. The second and third frameworks examine individual or group capacity to advocate for change. The second framework focuses on different skillsets an individual will require in order to affect change. The third framework then focuses on the different functions networks can play in policy change. The fourth framework (K*) presents a continuum of roles that advocates can take, from a low-engagement approach through to becoming thoroughly embedded in the policy process. The final framework (tactical theories of change) draws on a range of social science fields to describe five theories of how advocacy can work to influence change.

The five frameworks are compared in the table below. For an explanation of each individual framework in more detail, refer to Appendix A2.

Table 2: Brief description of frameworks to guide intervention planning

Framework	What is it?	Why use it?	When use it?
Advocacy strategy framework	Explores the different types of advocacy that could be used depending on an audience's level of engagement or influence.	Helpful in determining the type of tactics useful in targeting different audiences.	When considering what type of intervention to undertake to achieve goals.
Four styles of policy entrepreneurs	Categorises four different 'types' that all groups hoping to influence policy should include: story-tellers; networkers; engineers; fixers.	To understand the different skillsets that a team may need to include to be successful.	When planning based on the skills available in a team, or when planning recruitment for specific purposes.
Network functions framework	Details the five different ways a network can add value to an advocacy intervention: knowledge management; amplification; community-building; convening; resource mobilisation.	To understand how interventions can use or build networks to achieve aims.	When considering whether and how to form or use a network.
K* framework	Details six ways organisations or actors can interact to link knowledge to policy.	Simply disseminating content is rarely sufficient to achieve aims. This framework suggests ways an organisation can use knowledge to achieve change.	When taking stock of how an organisation uses information in their advocacy strategy.
Tactical theories of	Five different theories from different social	To consider what assumptions you are	When trying to choose between or prioritise

| change | disciplines of how tactics can influence change. | making about how tactics will achieve change, and whether these accurately reflect the context. | different tactics, especially when resources are limited. |

2.3 Frameworks to understand levels of influence

What are these frameworks? These frameworks focus on analysing the influence our tactics and interventions have on policy.

Why use these frameworks? These frameworks will help you pinpoint your short-term goals and locate where you should look to find your outcomes.

When are these frameworks useful? The best time to use these frameworks is when you are trying to understand the type of change you are seeking or developing your indicators for M&E.

This section focuses on ways of understanding the different influences that advocacy and policy interventions can have. This is important for tracing the contribution of a particular intervention to a particular policy process. The purpose of this section is to look at how we can better understand the influence our intervention has on policy change. These types of frameworks help us in trying to determine contribution of success cases. They should be used when trying to plan new interventions, or evaluate old ones.

The three frameworks presented here demonstrate different ways of describing change. The 'First, second, and third order of change' framework distinguishes superficial and short-term change from transformational and sustainable change. The 'eight policy outcomes' framework breaks down the idea of policy change into eight areas that advocacy might hope to affect. The influence outcomes framework focuses on possible influencing outcomes based on the level of engagement and the context of the audience. These are useful when correlating your intervention with the type of influence you are hoping to have.

The three frameworks are compared in Table 3. For an explanation of each individual framework in more detail, refer to Appendix A3.

Table 3: Frameworks to gauge the levels of influence interventions have on policy change

Framework	What is it?	Why use it?	When use it?
First, second, and third order of change	A way of understanding three levels of policy change: incremental change, transformative change; and paradigm shift.	To understand how much influence an intervention could have on policy and the level of effort required to achieve the depth of change sought.	When considering what level of policy change to aim for.
Eight policy outcomes	Descriptions of eight possible policy outcomes, from shifts in attitude through to	This framework helps you to be specific about what kind of outcomes you hope to achieve.	When planning how to achieve different types of policy to contribute to an

	effective implementation of policy commitments.		ultimate goal.
Influence outcomes frameworks	Similar to the 'Advocacy strategy framework'. Describes possible policy outcomes depending on an audience's level of engagement and influence.	Helps determine what sort of outcomes may be possible from working with a particular audience.	When defining audiences and deciding what outcomes to aim for by audience.

2.4 Conclusion

The frameworks outlined in this chapter provide a variety of ways to understand the three spheres of policy influence: context, tactics and influences. A framework is never more than a guide to how things may work. However, they can help you understand and intervene in a policy process to work towards the outcomes needed. The case studies in chapter 4 offer some examples of different ways other organisations have interpreted their policy context, have chosen tactics and had influence, and how they have evaluated their strategy, processes, outputs and impact.

3 Methods and tools for monitoring and evaluating advocacy

The field of advocacy evaluation is growing fast and **there is no consensus about the 'right' approach to it** (Whelan, 2008). There are literally hundreds of methods and approaches that evaluators, commissioners and managers of evaluation can draw on: some help to understand what the intervention is and what is to be evaluated; some help to gather and analyse data which describes what has happened; and some help to gather and analyse data to understand what has produced the outcomes and impacts that have been observed.

Options for monitoring and evaluating advocacy need to combine sensing shifts in the wider context, monitoring relationships and behaviours of diverse actors, weighing up different sources of evidence, being open to unexpected effects, and making sense of data in real time. As with any robust study, a strong evaluation will require multiple methods to triangulate the information gathered.

We've organised this chapter into four sections focusing broadly on different dimensions of an advocacy programme (based loosely on Hovland, 2007).

- **Strategy and direction**: Policy influencing requires strong strategy and direction with an explicit programme theory of how the activities will target multiple actors to achieve different purposes. This section details methods to evaluate the strength of a programme's theory of change.
- **Management and outputs**: Monitoring and evaluating how an organisation implements its strategy is important to ensure it was carried out as planned according to quality and ethical standards, and to test for any failures in implementation which can be used for internal learning.
- **Outcomes and impact:** Monitoring outcomes and impacts tracks the effects of an intervention. This is the major focus of M&E. This section focuses on methodologies which track to what extent change has occurred.
- **Understanding causes:** Measuring outcomes and impacts is helpful in understanding how much change has occurred but it doesn't explain why the change has occurred. Understanding causes help interpret why interventions have succeeded or failed and how they can be modified to replicate the success again. Methodologies in this section will focus on the relationship between cause and effect.

In each section we list the most popular methods used to monitor and evaluate these dimensions of advocacy programmes. It is not an exhaustive list but care has been taken to choose the most proficient methods in the field. We have included in each section the approaches which are most appropriate, but many of them can also be

used to monitor or evaluate the other dimensions. For example, the 'value for money' framework is included under 'Strategy and direction' because assessing the cost-effectiveness of an intervention is an important part of planning and strategic development. However, it could be used to assess the management of an intervention (how planned resources have been used), or even for 'Outcomes and impact' (the relative cost of achieving specific outcomes). It is up to individual practitioners to choose the options most suited to their intervention. Each of the methods listed is explained in more detail in Appendix B.

3.1 Strategy and direction

What are these methods? These methods are designed to evaluate the effectiveness of an intervention's strategy and direction, or the assumptions it is based on.

Why use these methods? Testing the strength of an intervention's strategy is a key component to understanding how the organisation is planning to achieve impact. Analysing strategy can trace success or lack of impact to an intervention's strategy.

Advocacy and policy change often require multiple interventions to achieve their aims, which are generally planned in a programme or organisation's strategy. A strategic plan gives insight on the choice of interventions and assumptions, and on how organisations use their resources. To determine the likelihood of an intervention's success, evaluators and programme officers can critically evaluate an organisation's or intervention's strategy and direction.

This section provides a broad range of methods for doing this. Logical frameworks and theories of change are methods that organisations can use to map their strategic plans in a way which can be evaluated at a later date. Social network analysis is a tool used to help plan the strategy and direction, determining which stakeholders are needed for an intervention. Many advocacy interventions focus on relationship links; social network analysis can determine if there have been any changes in relationship networks. Lastly, value for money allows a practitioner to evaluate an organisation's cost-effectiveness and financial planning.

See Appendix B1 for more detail on the M&E options for evaluating strategy and direction which are summarised below.

Table 4: List of methods that focus on strategy and direction

Method	What is it?	Why use it?	When use it?
Logical framework	A matrix used to help plan the intervention, very popular with bilateral funders such as DFID.	To help achieve stakeholder consensus, organise the plan, summarise assumptions, and identify indicators of success.	At the beginning, to plan the intervention.
Theories of change	A critical thinking exercise to map a programme strategy.	To help achieve stakeholder consensus, organise the plan, summarise assumptions, and identify indicators.	When creating a strategic plan.
Social network analysis	An analytical tool studying relationships between stakeholders.	Use to monitor the changes in relationships and structures of networks.	During baseline and post-evaluation.
Value for money	A framework to consider the cost-effectiveness of a programme.	To provide accountability to funders and internally that resources are being used effectively.	May be used during planning but also retroactively in the form of an evaluation.

3.2 Management and outputs

What are these methods? These methods measure how effectively an intervention has been planned and strategised. This includes activity logging methods.

Why use these methods? In order to effectively evaluate an intervention, understanding how the intervention was managed and governed is key.

This section looks at monitoring and evaluating how an organisation is carrying out its plan for an intervention. This is more than simply logging activities, it is also about assessing whether the right systems are in place, if the right set of skills are involved and if the intervention is structured in the most effective way.

The five methods selected here are based on ways to measure management and outputs. The first two frameworks focus on measuring how an organization performs against their plans. The Coalition Capacity Checklist is used for a group of organizations to take a quick stock take on their performance. Similarly, Fit for purpose reviews are a useful method to evaluate a programme's management. It largely focuses on determining if a programme's activities followed the original strategic plan.

The next three methods focus on outputs are included in this section as they are used to give feedback on a programme's governance. Scoring rubrics are useful to dissect output indicators and to define different levels of success. The tool evaluates how closely the organisation is following their strategic plan. Multi-Criteria Decision Analysis is a scoring method to assess the value among different choices. It can be used by an organisation to determine the assessment of a programme's outputs for example. Impact logs are useful to keep track of some of the direct responses that the intervention's activities trigger, such as media stories or anecdotal responses from policy-makers.

See Appendix B2 for more detail on the M&E options for monitoring management and outputs which are summarised below.

Table 5: List of methods that focus on management and outputs

Method	What is it?	Why use it?	When use it?
Coalition Capacity Checklist	A tool to take a quick pulse of a coalitions' performance.	Useful form of feedback to determine the effectiveness of a coalition.	Best used whe performing a stock take of a coalitions' abilities and capacities.
Fit for purpose reviews	A review to determine a programme's governance and management processes.	Excellent tool to determine if the processes in place were appropriate given the programme's purpose.	This method is best used retroactively, when evaluating an intervention.
Scoring rubrics	A rubric unpacks an indicator and defines multiple levels of success.	It is useful to determine different gradients of success.	When there is no single definition of success, or to measure proximity to

			defined success.
Multi-Criteria Decision Analysis	A table laying out all the criteria used to make a decision.	It helps to make a comparison between choices. Example: Comparing a portfolio of grants.	Best used when a decision needs to be made among a group of choices.
Impact logs	List of informal feedback, comments, anecdotes, citations, press references that a programme receives.	Keeps track of how an intervention's activities are taken up or viewed externally.	Best used during the entire intervention.

3.3 Outcomes and impact

What are these methods? These are monitoring and evaluation methods that determine how much and what type of change occurred: they focus on the impact of activities rather than the activities, or 'outputs' themselves.

Why use these methods? These methods are best used when wanting to explore what are the outcomes and impacts of an intervention. It may be necessary to use different methods to determine different types of impacts realised by the intervention.

Most M&E methods fall into the category of measuring outcomes and impact. This section helps to track how much change has occurred, or how to measure success in the area where an intervention is trying to achieve policy change. The five methods are a selection of different ways to measure outcome and impact.

'Stories of change' and 'most significant change' use a participatory story method as a way of recording case studies, using interview techniques to determine the most important impact. Ideally these are done with small beneficiary sample sizes though there are other similar story techniques that can be done with larger samples. The bellwether method interviews key people on which the intervention is trying to have impact. Bellwether is an interview technique similar to testing the contextual temperature to determine if your intervention has changed the policy landscape. Another method that focuses on contextual landscape is stakeholder analysis. This is a useful method to determine if an intervention increased the number of useful stakeholders in a network; or as a method to understand which stakeholders need to be interviewed to determine the success of the intervention. Finally, while all of the above methods analyse different types of change, progress markers and outcome journals are useful to map out the impacts and to determine the success of an intervention.

See Appendix B3 for more detail on the M&E options for monitoring and evaluating outcomes and impact which are summarised below.

Table 6: List of methods that focus on outcomes and impact

Method	What is it?	Why use it?	When use it?
Stories of change	A case study method to determine	Useful to investigate impact through first-hand	Use in retrospective evaluation or review.

	pathways of success.	accounts and analyse how activities caused impact.	
Most significant change	A participatory method to determine impact through the perspective of different stakeholders.	Useful to determine most significant impact.	Use in retrospective evaluation or review.
Bellwether method	An interview method to determine an issue's position on the policy agenda.	Useful to gauge influence of the intervention on key policy-makers.	Use during baseline and evaluation to gauge success.
Stakeholder analysis	Method to determine which stakeholders are invested in the intervention.	Best used to determine if an organisation has increased their connections to influential stakeholders, or to determine which stakeholders are best to interview during an evaluation.	May be used on project planning but can also be used in evaluations.
Progress markers and journals	A logging method to monitor outcomes and impacts and gauge success.	Helpful to identify the standards of success.	Use to design the intervention and later to assess impact.

3.4 Understanding causes

What are these methods? These methods examine how and why change happens to help understand how the changes that have been observed were brought about.

Why use these methods? Evaluations with an explicit emphasis on understanding the causes of observed impacts should draw heavily on these methods.

The most difficult part of an evaluation is to understand what caused the impacts observed. The methods selected demonstrate a wide range of ways to map out cause and effect relationships (although they are not exhaustive). Experimental designs are widely considered to be the most rigorous method for understanding causes. However, in order for experimental designs to be effective, counterfactuals (i.e. a comparison group which experiences exactly the same context, except for the presence of the intervention) must be available. Other methods, such as process tracing and contribution analysis, do not require a comparison group and can be done with a relatively small sample size, so may be more suitable for situations where it is not possible to establish a comparison group. These methods are also generally less costly as they rely on less intensive data-gathering. Elimination analysis is a logical method that establishes all possible causes then gathers evidence to establish which causes can be ruled out. The RAPID Outcome Assessment method works best in a workshop setting and thus is effective as a participatory method to determine causal relationships. Finally the Qualitative

Comparative Analysis tool is best used for studies comparing different situations and different causal factors.

See Appendix B4 for more detail on the M&E options for understanding causes which are summarised below.

Table 7: List of methods that focus on understanding causes

Method	What is it?	Why use it?	When use it?
Experimental design	An evaluation design that requires randomisation and a control group. Randomised control trials are one type of experimental design.	To generate precise information about the intervention cost and benefits, generally to gain information about scaling up the intervention.	When there is a comparison group available.
Process tracing	An analytical tool to draw out causal claims.	To draw out the causal link of an intervention and its impact. Useful with small sample sizes.	When there is no comparison group and strong information on sequence of events.
Contribution analysis	Analytical tool using the intervention's strategic plan and assessing the contribution story.	To assess the contribution of activities to an outcome.	When there is no comparison group and where there is a strong theory of change.
General elimination analysis	An analysis technique that eliminates all rival explanations to find the most prominent explanation.	It can add to the strength of evidence for a cause and effect relationship.	When there is a lack of comparison group and several competing options for understanding causes.
RAPID Outcome Assessment	A mapping tool that draws links between boundary partners and key behaviours on a timeline to link influence and behaviour change.	Useful tool to map out causal links between intervention and impact.	When there is no comparison group and a particular wish to understand the role of context and partners.
Qualitative Comparative Analysis	Analytical tool comparing multiple situations and determining different combinations of causal conditions.	This method is best used when there are multiple case studies with multiple factors to consider and when all factors are known.	When several scenarios or aspects of an intervention need to be compared or understood.

3.5 Conclusion

This chapter described four areas of considerations in evaluations; strategy and direction, management and outputs, outcomes and impact, and understanding causes. Depending on the evaluation questions, the practitioners may choose if they would like to focus their evaluation on one or all four of the above areas. Methods should be carefully selected to answer the specific evaluation questions. Further, a strong evaluation would use multiple methods to triangulate data and draw conclusions about what worked and why.

4 Case studies

This chapter presents six monitoring and evaluation of advocacy case studies. The purpose is to demonstrate how it is possible to effectively monitor and evaluate advocacy interventions, highlight the tools the organisations used and to show what information was gleaned from the results.

The case studies have been selected to demonstrate a range of methods used to evaluate advocacy interventions. These case studies also have larger implications for learning about advocacy, including measuring bilateral donors' influence, and the effectiveness of a programme to influence members of parliament.

The case studies are organised to illustrate how some of the options and approaches outlined at the start of Chapter 3 can be used in practice. However, many of the case studies also illustrate approaches to monitor and evaluate other dimensions.

1. **Strategy and direction**: The first case study, evaluating the value for money of DFID's influence in the health sector, focused on the effectiveness of their health programmes' influence and whether these programmes were cost-effective. Through value for money analysis, DFID was able to determine that the strategies used by the influencing programmes are worth investing in.
2. **Management and output**: In the second case study, Publish What You Pay (PWYP) was keen to learn about their effectiveness in advocating for transparency in the extractives industry. Through an adaptation of the Coalition Capacity Tool, the PWYP was able to determine how effective their coalitions were in response to advocacy. The third case study featuring an M&E dashboard demonstrates how an organisation can monitor outputs to gauge the success of policy influence.
3. **Outcomes and impact**: In the fourth case study, the Climate and Development Knowledge Network (CDKN) evaluated its ambitious goal to influence global climate change negotiations. Through the use of progress markers as a monitoring tool, CDKN was able to monitor their desired outcomes and impact to gauge the success of their intervention.
4. **Understanding causes**: In the fifth case study, evaluators used the general elimination method to find concrete evidence that a stealth campaign affected a US Supreme Court decision. The final case study elaborates on this area: using a modification of the RAPID Outcome Assessment tool, the evaluation team was able to assess the quality of the European Development Cooperation Strengthening Programme's (EDCSP) influence on the EU's Development and Cooperation programme.

4.1 Evaluating value for money of DFID's influence in the health sector

More information can be found at Clarke et al., 2009.

> **Evaluation or monitoring case study?** Evaluation, using Value for Money tool
>
> **What was the evaluation question?** How effective is DFID's influencing policy on the health sector and is it good value for money?

Background: The aim of the evaluation was to assess whether DFID's influencing and policy dialogue activities in the health sector have provided good value for money.

The evaluation looked at six health programmes that focus on policy influence. The programmes range from removal of health care user fees in Zambia, promoting equity of access for impoverished castes in India, to joint financing agreements in Nigeria. An example of one of the influencing programmes is provided in the box on this page.

The key influencing strategies that DFID used were: lesson learning; evidence-based approaches; leadership of the harmonisation agenda; and influencing through membership of global programmes and funds.

Evaluation tools: The evaluation used many different methods including RAPID Outcome Assessment and most significant change. For the purpose of this case study we will focus on the evaluation's use of value for money methods.

Findings: It was determined that influencing costs varied from £300,000 to £600,000 per programme which were modest in comparison to the potential benefits. In terms of cost-effectiveness, the conclusion of the evaluation was that the influencing activities under evaluation do present value for money.

> ### DFID influencing the health sector in Nepal
>
> DFID's goal was to support efforts to improve safe motherhood in Nepal. The relationship with the Ministry of Health was built up over 10 years. DFID's influencing approach was based on researching the nature of constraints and demand-side financing. In 2004, a political window opened when a new coalition government wanted urgent action to improve the status of women. A study funded by DFID determined that 51% of women delivering in hospitals had to borrow to meet the cost of attending the facilities. The results led to the introduction of a new financial incentive to encourage staff to attend pregnant women in their homes, to reduce the financial burdens on new mothers. Maternal mortality survey results show a reduction from 539 deaths per 100,000 live births in 1996 to 281 in 2009.
>
> The total costs of influencing during the 2004–2009 period were £441,609. Stakeholder surveys rated DFID's influence scale on average of six to eight out of a possible 10.

The evaluators found that in four out of six programmes, policy change had occurred and they were able to correlate some of the positive impact to DFID's influence. This was demonstrated through a range of interviews, case studies and electronic perception surveys. The majority of stakeholders rated DFID's influence

to be decisive in the policy change – with a score of six to eight out of a possible 10. In all cases, it was felt that DFID had at least contributed in the policy change process. However, health outcomes could not be attributed solely to DFID influencing.

4.2 Publish What You Pay Coalition self-assessment

More information can be found at the PWYP Coalition self-assessment (2013).

Evaluation or monitoring case study? Monitoring, using a derivation of the Advocacy Core Capacity Assessment Tool

What was the evaluation question? What are the strengths and weaknesses of different coalitions within the Publish What Your Pay network? Do different coalitions with different capacities correlate with their impact as an advocacy organisation?

Background: Publish What You Pay is a global network of civil society coalitions united in the call for open and accountable extractive sector, so that oil, gas and mining revenues improve the lives of people in resource-rich countries.

Monitoring tool: In 2013 Publish What You Pay created a self-assessment tool similar to the Advocacy Core Capacity Assessment Tool. The tool gives coalition steering committees, coordinators and members a snapshot of the coalition's capacity, and a common language to discuss strengths and weaknesses. It helps to strengthen learning and accountability between members, and creates a minimum standard for coalition management to assist the Global Steering Group. The self-assessment tool is filled out by the coordinators and discussed among its steering group or members. It is emphasised that this is not an evaluation but a learning tool focused on the management of the organisation.

There are **ten compentencies** in three broad categories: learning and coordination; strategic and adaptive capacity; and knowledge management and learning. Each competency has **five levels** from basic demonstration of the compentency through to comprehensive practice. The following definitions are provided as a guide:

Table 8: Five levels of competency

Level 1	Improvements should be prioritised.
Level 2	Expect to see coalitions operating at least this level, but also expect plans for improvement.
Level 3	Coalitions have strong competencies but in some cases there could still be room for improvement.
Level 4	Would like to see coalitions at this level. Comfortably demonstrating strong competency.
Level 5	Would love to see coalitions at this level but may not be appropriate for all coalitions and certainly not for all competencies.

Findings: The self-assessment tool has only been used once but patterns are already emerging. The Global Steering group is noticing coalitions that rate as highly competent are able to mobilise their members more effectively than coalitions that have more basic competencies. These competencies are a more

accurate determinant of a coalitions' effectiveness than enabling factors in the coalitions' environment.

4.3 Creating an M&E dashboard to monitor online influence

Scott, 2012

Evaluation or monitoring case study? Monitoring, using M&E dashboard

What was the evaluation question? How effective is the Overseas Development Institute's (ODI) policy influence work globally and how do we capture the information?

Background: As policy communications become increasingly digital, organisations are investing greater resources in tracking and assessing influence. In 2011, ODI's communications department worked together with RAPID to develop an extensive monitoring and evaluation dashboard to measure the organisation's policy influence. A dashboard collects qualitative and quantitative data across the institute. The goal of the dashboard is to track ODI's online influence by setting benchmarks for the organisation, assessing success in influencing audiences, and identifying key factors in any success.

Monitoring tool: Through the collection of statistics through the dashboard, ODI's communications department was able to extract a list of actions to increase the probability of ODI's research being read and used. The communications department has devised a set of criteria for the dashboard following an amended logic model (management, outputs, uptake, outcomes and impact) to assess the influence of ODI's advocacy work. For example:

Table 9: Assessment benchmark against the logic framework

	Assessment level and potential information to benchmark			
	Management	Outputs	Uptake	Outcomes and impact
Blog or article	Number of webpage views. Split of web entrances (search engine/ email / other sites)	Comments on blog Search engine positioning Clicks of 'print' button	Comments on blog Social network mentions Clicks of 'share' button Placement on media site or media mention	Evidence sent to M&E log from emails or personal contacts

Every quarter, the communications department sends a 'CommsStats' report to each research programme in the institute. The report synthesises the quantitative and qualitative data described in Table 8 and draws out a set of headline findings to guide communications work for the programme. It is also a useful tool for delivering results to stakeholders and donors, when required.

Findings: The information has brought about behavioural changes within the communications department, and the rest of ODI. For example, it has been shown that posting on external websites and linking those blogs to ODI, a strategy known as 'being there', can generate greater traffic and visibility than posting the blog on the ODI site.

4.4 Supporting international climate negotiators

More information can be found at Hamza-Goodacre, Jefford and Simister, 2013.

Evaluation or monitoring case study? Monitoring, using Progress markers

What was the evaluation question? How effective is CDKN's influencing strategy on international negotiations and how do we build indicators to monitor our progress?

Background: CDKN works to support the poorest and most vulnerable countries to influence global climate change negotiations by providing legal and technical support to inform national policy and negotiating positions. They facilitate training and capacity-building for climate negotiators, support planning for and meaningful participation in international talks and key meetings, and improve negotiators' access to information about key climate change issues.

High numbers of challenges are present when constructing an M&E framework for multilateral negotiations. Care must be exercised when attempting to attribute any negotiation 'successes' as it is politically sensitive for a donor programme to claim credit for the negotiating success of another country or group.

Monitoring tool: In response to the challenges, CDKN has produced a monitoring and evaluation framework for their negotiations support. The framework has foundations in theory of change, and outcome mapping. For this case study we will focus on CDKN's use of progress markers.

CDKN uses six negotiations to support dimensions of change as indicators for outcome challenges. Progress markers were identified within the indicators as 'expect to see', 'like to see', and 'love to see'. Between five and 15 progress markers were developed to characterise change within each dimension.

From each progress marker, CDKN determines whether there was evidence of change, no evidence available, or evidence of no change. CDKN gathers and examines evidence from various sources and then charts the number of groups who have witnessed changes in the 'expect to see', 'like to see', and 'love to see' indicators.

Findings: It is still too early to determine the impact of CDKN's monitoring and evaluation framework however the progress markers give the implementation and future evaluators a definition of success. Table 9 is an example of how progress markers have been used to dissect the dimensions of change.

Table 10: An example of CDKN's progress markers and how they have been colour-coded to show evidence of change.

Dimensions of change number 2.
LOVE TO SEE
Increase proportion of delegates who have technical background and/or have been selected to attend meetings due to their technical background rather their seniority
Delegate increasingly chair or provide lead input into an increased proportion of working groups or meetings

Groups/countries/constituencies are asked to enter formal links with other (influential) groups

LIKE TO SEE

Delegates or countries send sufficient delegations to COPs and inter-sessional
Delegates make a greater number/proportion of interventions and submissions in areas relevant to their national or group interests
Delegates in group/country/constituency delegations are supported by more/better working-level analysts
Groups/countries/constituencies give more/better press conferences

EXPECT TO SEE

Groups/countries increasingly identify and agree priorities or desired outcomes in advance of meetings with international climate change negotiations
Delegations are able to attend more meetings (e.g. more parallel negotiation tracks at COPS)
Groups/country delegations plan attendance at difference sessions (e.g. based on full understanding of the linkages between them)
Groups/countries spend longer in preparation before international climate change meetings

Key: N/A no evidence of change
Change in 1 to 2 groups
Change in 3 to 4 groups
Change in ≥ 5 groups

4.5 The stealth campaign overthrew the juvenile death penalty

More information can be found at Patton, 2008a.

Evaluation or monitoring case study? Evaluation, using General elimination method

What was the evaluation question? How effective was the stealth campaign's influence on the US Supreme Court policy and can it be proven?

Background: In 2004, more than $2 million USD were contributed to the Final Push Campaign to overthrow the juvenile death penalty through the US Supreme Court. An evaluation was commissioned to determine to what extent the campaign influenced the US Supreme Court.

The Final Push Campaign capitalised on a key policy window. In late 2003 several petitions on behalf of juvenile offenders who were facing the death penalty were filed with the US Supreme Court. In January 2004, the court sought judicial review pertaining to this issue and the case was argued in October 2004. Those nine months became the opportune policy window for public campaigns to push the US

Supreme Court in favour of making capital punishment for juveniles unconstitutional.

Evaluation tool: Through the general elimination method, the evaluation team was able to eliminate all the alternative or rival explanations to reach the most prominent explanations. Using detailed examination of campaign documents, interviews with 56 people directly involved, including the attorneys on both sides of the campaign before the Supreme Court, legal briefings, 30 court documents, media reports, and confidential campaign files, the campaign was able to establish relevant facts, events, decisions and activities to determine the most likely occurrence of events. A narrative was constructed from the different informants. The case study thus involved an ongoing comparative analysis, which sorted out, compared and reported on different perspectives. Consistently comparing different perspectives and returning with follow-up interviews allowed the evaluators to eliminate different possibilities until one remained.

Findings: The evaluation team was able to determine that the campaign contributed significantly to the court's decision. This information was used to support the case that the donor's financial investment in The Final Push Campaign was worthwhile.

4.6 Evaluating the European Development Cooperation Strengthening Programme's influence

More information can be found at Bayne, 2013.

Evaluation or monitoring case study? Evaluation, using RAPID Outcome Assessment tool

What was the evaluation question? How effective is EDCSP at influencing the EU's development and cooperation programme? How did the influence occur? Can it be proven?

Background: The European Development Cooperation Strengthening Programme (EDCSP) aims to support the evolving policies, structures, instruments and performance of the EU development and cooperation programme (EuropeAID), and to influence its priorities to be in line with those of DFID. The project has three outputs: 1) the provision of solutions and evidence through independent, practical and policy-orientated briefings, submissions and research papers; 2) enhanced understanding through meetings, presentations and a newsletter as well as regular opinions and blogs; and 3) engagement, dialogue and debate between community of researchers and policy-makers.

The project's theory of change is based on an understanding of the role of research and evidence in improving the quality of development policy and practice and, more specifically, the role of think tanks as knowledge brokers, seeking to increase knowledge use in decision-making and promote informed discussions and spaces for reflection.

Evaluation tools: One of the tools used in this evaluation was the RAPID Outcome Assessment. The method RAPID Outcome Assessment requires charting influence that occurred over a timeline. The top of the chart illustrates the project timeline while the left column will illustrate all the boundary partners of the project. All the major events that have occurred are placed on this timeline according to the boundary partner. Links are then made between major events and other partners' responses to the events.

Findings: Outcome Mapping provided a method to determine the extent of EDCSP's influence on EU development and cooperation.

The project has been highly valued by a wide range of stakeholders engaging on EU development cooperation from across EU member states, and from within and beyond EU institutions. It has performed highly across all three outputs. Research papers have been considered by stakeholders to be of exceptional quality, accessible, and broadly aligned to DFID's priorities. Research is valued for focusing attention on the key issues, supporting the evidence base and promoting a more informed debate. Research papers are independent, practical and solutions-based.

Table 11: Example of outcome mapping method to determine links of EDCSP's outputs to events and impact

Timeline	Quarter 1	Quarter 2	Quarter 3
Boundary partners			
Project timeline	Major event #1		
European member of parliament A			
European member of parliament B		Response to major event #1	Discussion about response to major event #1
European think tank A			
European think tank B		Response to major event #1	Discussion about major response to event #1
DFID official A			
DFID official B			

5 Conclusions

M&E is not just the domain of M&E professionals, but is part and parcel of every practitioner's work, be they advocates or campaigners, programme managers, commissioners or funders. M&E is essential for quality management and strategic decision-making.

The purpose of this working paper has been to give the reader an overview of current thinking on monitoring and evaluation of advocacy interventions, as well as a brief introduction to some of the frameworks that can be useful for understanding policy and advocacy processes and to some of the methods and tools that can be used to evaluate the different dimensions of the programme.

M&E of advocacy will be a constantly evolving field. There is a very active community of evaluators and managers who are interested in the practice of advocacy evaluation that has emerged from the US philanthropy sector, initiated by the American Evaluation Association. Much of the theory and practice of advocacy evaluation comes from this community and the large debates and tensions, the community is starting to come together agreeing on the challenges and approaches that are appropriate for advocacy evaluation. They have also been responsible for a lot of the development of tools and methods.

The appendices provide summaries of the key frameworks methods and tools and links to further information, and the references provide the full source of all citations, with web links where possible.

Appendix A: Frameworks for understanding policy influence

A1 Frameworks to understand context

A1.1 Linear policy development processes

Lasswell, 1956

The first place to start in understanding policy-making is the formal policy process that supposedly develops, implements and evaluates policies in democratic societies. The linear policy-making framework describes the simple steps of policy development.

> **Why this framework?** This framework explains the step-by-step process of a simple model of policy-making.
>
> **When is it useful?** When policy change is controlled by one actor, when there are clear and uncontested goals for decision-makers, and when there are predictable processes for decision-making.

Some policy processes operate in a simple environment. These types of environments have three characteristics:

- Policy decisions are taken by one group or body, discussion and decision-making is relatively closed, and interventions can focus solely on the needs of that one body or actor.
- There are clear and non-debatable goals for decision-making: decisions come from clear and established goals, with formal rules for decision-making.
- Policy change follows predictable processes, with clear decision-making structures.

The linear framework follows five different stages (Lasswell, 1956; modified by Pollard and Court, 2005):

i.   Agenda-setting: awareness of a problem increases, issues are prioritised and new perspectives may be heard to highlight new challenges.
ii. Policy formulation: options and strategies for action are formed.
iii. Decision-making: choices are made between different instruments.
iv. Policy implementation: the policy and decisions are passed down through administration; plans are developed and conducted.
v.   Evaluation: the policy is assessed, and then fed back into the agenda-setting process. Feedback must be related to process, outcomes or impacts of the current or past interventions.

A1.2 Policy circle framework (the 6Ps)

Hardee, Ferarnil, Boezwinkle and Clark, 2004

Why this framework? The policy circle is not intended to be linear or circular, but places the problem at the centre. It is useful to consider the policy components required for policy change.

When is it useful? The framework can be used to analyse different policy levels, to help view policy programmes in different lenses (youth, gender and human rights).

The policy circle was developed to demonstrate the complex and non-linear nature of policy. It comprises seven 'P's which operate in a political, social, cultural and economic context.

- **Political, social and economic context**: Policy-making takes place in diverse settings. It is important to take note of different political systems, or forms of government, or whether, for example the political situation is stable or in crisis. Social and cultural settings are also important factors with regard to national policy change implementation.
- **Problem**: The policy circle begins with the problem and how is it addressed through policy. Effective analysis of the available evidence should be used to identify the problem clearly.
- **People/places**: The next step in the policy circle is to understand the stakeholders, place and institutions involved in the policy process. It is important to understand their views of the 'problem' and their responsibilities in the policy-making cycle.
- **Process**: The next step looks at the process of policy-making. This includes a) issue-framing, b) agenda-setting, c) policy formation.
- **Price tag**: The next step is focusing on sourcing the right resources to implement the policy. Resources may be financial, physical, or human.
- **Paper**: The policy process culminates in new written policies that provide a new framework for action.
- **Programmes and performances**: The last step is the implementation of new policies.

Figure A1: The policy circle (Hardee et al., 2004)
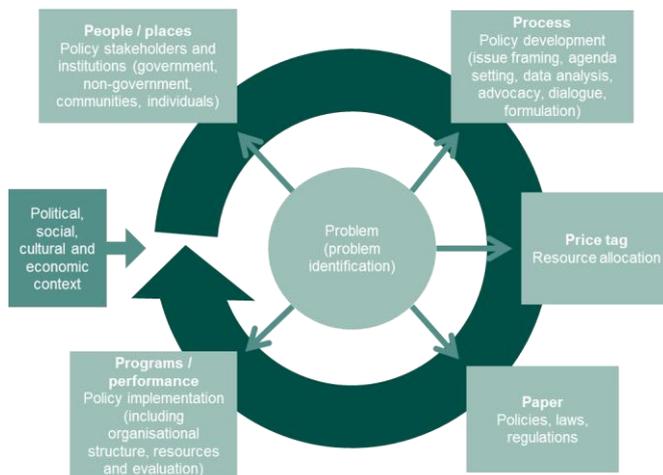
A1.3 Global theories of change
Stachowiak, 2013

Why this framework? All frameworks use assumptions about the way policy change works to help understand it in a specific context. However, these assumptions may be mutually exclusive, so it is important to be clear which framework you are using. Not identifying assumptions can lead to applying a faulty logic to a policy change situation.

When is it useful? These global theories are useful to create tactics to influence different types of policy change.

Stachowiak (2013) describes five 'global' theories on how policy change can occur.

1. **Large leap or Punctuated Equilibrium theory: Baumgartner and Jones (1993)**

Believers in punctuated equilibrium theory recognise that when conditions are right, large changes can happen in sudden, large leaps. Baumgartner and Jones, using longitudinal studies on decision-making, have documented large shifts in US policies. This theory is relevant to advocates as large changes generally occur when an issue has to be defined differently, a new dimension of an issue gains attention or new actors get involved in an issue.

2. **Agenda-Setting theory or Policy Window theory: Kingdon (1995)**

Kingdon's theory of policy window is a theory to determine what issues gain priority in the policy process, depending on three policy processes: problems, policies and politics.

- Problems: Policy proposals have a higher probability of being on the agenda. Therefore problem recognition is important. This can be influenced by how a problem is learned about, or defined.
- Proposals: This is the process by which policy proposals are created, debated, changed and adopted for consideration. Proposals are typically taken more seriously if they are seen as technically feasible, compatible with values, cost-effective and appealing.
- Politics: These are political factors that influence policy proposals. These can include political climate, elected officials, the mood, or voice.

These three elements operate independently. Successful agenda-setting occurs when two of these three elements cross paths at a critical time. This is what Kingdon calls a 'policy window'. Advocates are suggested to design their interventions on at least two of these streams to increase the likelihood of success of policy adoption.

3. **Advocacy Coalition Framework: Sabatier (1988)**

The Advocacy Coalition Framework emerged from a search for an alternative to the formal models of policy process, in order to recognise the politics involved in policy-making and the human instinct to form groups and coalitions based around common beliefs and values.

The model argues that policy participants strive to translate components of their belief systems into actual policy. Policy participants therefore seek allies with other people who hold similar core policy beliefs. It is assumed that groups operate the most effectively and efficiently when they share core beliefs. Advocacy coalitions therefore provide useful tools for aggregating the behaviour of hundreds of organisations and individuals involved in a policy system over decades or more.

In terms of influencing, this theory argues about the power of advocacy groups with shared common values and beliefs. Coalitions are effective in pursuing different avenues together. Practitioners who believe in this model will make an effort to either seek out people with common beliefs in various positions of influence, or form coalitions to strategise for greater impact.

4. **Power Elites theory: Mills (1956)**

The Power Elites theory has its foundations in sociology and proposes that power to influence policy is concentrated among very few people. Power and class structures maintain key decision-making powers to a small selected group of people. The power can be used in different ways including direct decision-making, indirect influence, or implicit power. It is important to note that power and influence in one area may not translate to power and influence in others.

If subscribing to this theory, it is important to undertake stakeholder analysis to understand who in the field has power. Those people will be critical to influence or to develop relationships with.

5. **Regime theory: Stone (1989)**

Regime theory is a theory about the relationship between power, development and growth. It is often used in comparison to pluralist theory. Pluralism considers governments to be like the market, where politicians respond to voters and voters are consumers. The goal of the system is to maximise growth for the consumers.

Regime theory believes that governments must work together with public and private sector interests to achieve policy change. Instead of governments working directly to respond to voters, regime theory believes that regimes or coalitions between the public and private sectors are the motivators for financial growth. 'Regimes' are informal and formal groups that focus around a shared agenda. All members share resources, strategic knowledge and capacities and as such they can be fairly stable and work efficiently.

This theory is largely collected from urban experiences in the US. Stone's research found four types of regimes (Domhoff, 2005):

i.   Development regimes which try to expand and develop the city. The focus of these regimes is growth and expansion. Usually they require a large

amount of resources and therefore involve many of the local business communities.

ii. Middle-class progressive regimes: These regimes seek neighbourhood and environmental protections. Often the city budget tends to go to affordable housing and urban amenities.

iii. Lower class opportunity expansion regimes: This regime requires considerable mass mobilisation. Though infrequent, we often see bits of these regimes in community-based organisations. School compacts are an example where local businesses agree to employ a local graduate from high school.

iv. Maintenance regimes: This is the most frequent regime. They simply require the maintenance of the city government functions.

A1.4 Context, Evidence, Links framework
Crewe and Young, 2002, RAPID, Overseas Development Institute

Why this framework? The CEL framework analyses contextual factors and their influence on policy change.

When is it useful? It should be used when wanting to understand the links between tactics, activities and inputs of an intervention and the corresponding changes in policy. The best time to use the framework is when a) strategising for a new intervention; b) trying to understand the strengths and weaknesses of past interventions; and c) evaluating past interventions.

Context, Evidence, Links (CEL) is a framework from the Research and Policy in Development programme at ODI (Crewe and Young, 2002). It is used to analyse the factors that influence the role of evidence in influencing policy. It is therefore particularly suitable for evidence-based advocacy interventions. The goal of the framework is to consider wider political interests and the role of civil society, to create a more integrated and holistic approach to understanding impact. It should be used when analysing political change and to consider:

1. how information has been used, shaped, or ignored by policy-makers
2. how evidence could be used more effectively for policy-making.

Figure A2: The Context, Evidence, Links framework

External influences – socio-economic and cultural influences, donor policies etc.

The **political context** – political and economic structures and processes, culture, institutional pressures, incremental vs radical change etc

The **links** between policy and research communities – networks, relationships, power, competing discourses, trust, knowledge etc.

The **evidence** – credibility, the degree it challenges received wisdom, research approaches and methodology, simplicity of the message, how it is packaged etc.

The CEL framework focuses on four areas:

- Context: a key area to think about when you're considering context is the larger political arena. This can include the form of government (non-, semi- or fully democratic), type of institutions and level of media and academic freedom. How strong is demand for policy change? What are the incentives of bureaucrats for change? Do bureaucrats have room to manoeuvre? Do they employ participatory approaches? What are the best windows of opportunity to attempt policy change?

- Evidence and communication: it is important when advocating for change to look at the quality of evidence and communication. Policy influence often comes about when messages are packaged and targeted effectively to their audience, and advocates are engaging in dialogue with policy-makers rather than 'talking at them'.

- Links: the framework emphasises how communities and networks can influence policy change. Are there effective feedback processes between communities and policy-makers? Links demonstrate the level of trust between communities (Sabatier and Jenkins-Smith, 1993; Gladwell, 2000).

- External influences: Is the external environment conducive for policy change? This includes international politics and processes or incentives, which can have a major impact on the demand for change. External trends such as decentralisation or democratisation can also have an impact.

A2 Frameworks to guide intervention planning

A2.1 Advocacy strategy framework
Coffman, J. , 2011

> ***Why this framework?*** *The framework helps to determine what type of advocacy strategy is needed depending on an audience's level of engagement and level of influence on the issue in question.*
>
> ***When is it useful?*** *The framework is useful when considering what type of tactics will be useful when creating an advocacy strategy for different audiences.*

This framework focuses on the different types of advocacy that could be used depending on the audience's level of engagement or level of influence. A similar framework in A.3.3 uses the same foundation but focuses on the possible outcomes resulting from these advocacy tactics.

Figure A3: Supporting advocacy strategy framework

		Public	Influencers	Decision-makers
			Systems change	Policy change
Levels of engagement	**Action**	New advocates / Direct actions / Constituency growth	New donors / Collaboration and alignment	More or diversified funding / New champions
	Will	Public will	Media coverage	Political will
		← Issue reframing →		
		← Salience →		
		Advocacy capacity		
	Awareness		Organisational visibility and recognition	
		← Attitudes and beliefs →		
		← Awareness →		
		Public	**Influencers**	**Decision-makers**
			Audiences	

A2.2 Four styles of policy entrepreneur
Maxwell, 2009

Why this framework? Influencing policy requires a range of skills. It is important to consider the way the message is communicated, who the message is communicated to, and putting the message to use. This framework presents four skillsets that individuals or teams may call upon that go beyond straightforward dissemination of a message.

When is it useful? This framework is useful for considering the kind of advocates who are needed in a particular campaign – do you need a persuasive story-teller, or a highly connected networker, someone who knows the 'nuts-and-bolts' of the policy process, or someone who can speak 'truth to power'?

Simon Maxwell (2009) details four character styles that all groups working with policy processes need to include. He explains that these four character styles are necessary for an effective policy entrepreneur in order to push for policy change. These four styles of policy entrepreneurs remind us that there are multiple ways of engaging with policy processes and they may require someone who can switch between modes to achieve the policy change they are seeking. None of these modes are better than the others: they are all needed at different stages and in different situations.

This framework is most useful when planning how best to contribute to policy processes. While an individual or group may be more prone to one method it is important to try either to strike a balance between all four of these characteristics, or build a policy influence strategy that uses more than one style.

- **The story-tellers**

Story-telling narratives can be a powerful tool in changing policy. Many advocacy communication methods use this tool as a way to communicate potential solutions. Emery Roe (1994) first coined the term 'Narrative Policy Analysis' to help identify political rather than technical roadblocks.

- **The networkers**

There is some evidence that policy-making occurs within communities who know and interact with each other. A networker is a person engaging in the policy processes by linking different groups of people together. Malcolm Gladwell (2000) calls these people the 'connectors', individuals in the community who know a large number of people across social, cultural, professional and economic circles.

- **The engineer**

The third model is from literature about 'street level bureaucrats' (Lipski, 1969). Often there is an implementation gap between what policy-makers envisage and the people who implement the policy such as police or teachers. Lipski argues that policy is shaped by those who implement it: they are often constrained by resources as they are continuously negotiating to make sure they meet their targets and their relationships with their clients. Engineers know it is important to be engaged with reality on the ground and understand how the policy details are enacted at field level.

- **The fixer**

The fixer focuses on understanding policy and political processes and knowing when is the right time for their input. This requires a good understanding of what a group has to offer and what is needed in the policy process. Fixers require a strong

knowledge of organisational culture in order to implement their ideas. Charles Handy (1976) documents four types of organisational culture which describe how power interacts to create change. Cultures that focus on power concentrate authority in a central figure. Role culture stems from hierarchical bureaucracies where power derives from a person's position rather than technical knowledge. Task culture derives power from teams holding the expertise to do the task. Lastly, person culture is formed where individuals all believe themselves to be superior to the organisation.

A2.3 Network functions framework
Hearn and Mendizabal, 2011

Why this framework? Advocacy interventions often require organisations and individuals to come together to form a network. The purpose of these networks often varies as can the value that networks add to advocacy. This framework describes five functions of networks.

When is it useful? This framework can clarify the purpose of a network to help it function strategically but can also help to identify different kinds of networks that have contributed to the success of a campaign – for example, networks which have helped build common values and trust, networks which have shared information or networks which have brought together different kinds of actors with different perspectives.

Hearn and Mendizabal discuss five main functions for networks (2011). While the analysis is focused on researchers' influence on policy processes, we can extrapolate the influence of advocacy in a similar manner. When working with a coalition, group, or network, it is important to understand what you are trying to achieve to discover which vehicle serves as the best function.

Networks have five main functions when influencing policy:

- **Knowledge management**: a network functions to identify, filter and share important information. It helps to prevent information overload.
- **Amplification and advocacy**: networks can help to extend the reach of research and to influence members of the network.
- **Community-building**: networks can help build a sense of trust and community between members of the network.
- **Convening**: networks can also focus on building bridges between groups or individuals and spark discussion among different actors.
- **Resource mobilisation**: Networks can help mobilise resources and increase the capacity and effectiveness of their members.

A2.4 K* framework

Jones, Jones, Shaxson and Walker, 2012

Why this framework? An advocacy strategy that simply focuses on giving out information often struggles to achieve its aims. The K* framework focuses on six different relationships an organisation may have with information and policy change to help understand the specific role they can play in achieving change.

When is it useful? When considering the function of an organisation, the framework helps to understand what roles it is playing to link information and policy change. Often an organisation cannot fulfil all six functions at the same time. Understanding this may help recruit other organisations to fulfil the other functions.

Jones et al. (2012) focus on six different ways organisations or actors can interact to link information and policy. This framework is especially useful as it focuses on the process to get from action to outcomes.

Figure A4: K* framework
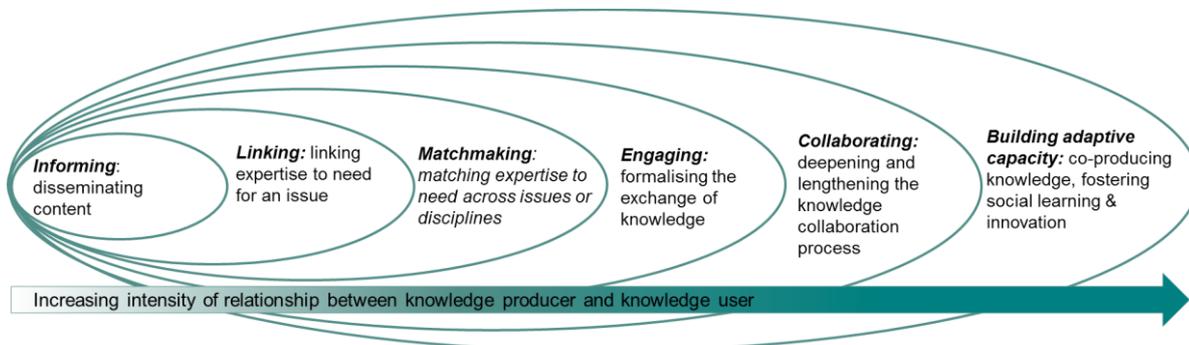
In order to successfully link advocacy and policy-making, it is useful to have intermediary bodies, or organisations that can bridge many of the six functions listed below. The K* framework focuses on these six functions:

- **Informing**: disseminating content to targeted decision-makers and decision influencers.

- **Linking**: seeking out experts to advise policy-makers on a known problem. The information provided is based on a response to a clear set of questions.

- **Matchmaking**: seeks to identify useful knowledge from disciplines, countries and organisations that the policy-maker would not have thought to search in. The matchmaker purposefully seeks out this new knowledge.
- **Engaging**: collaboration around a chosen issue. Often conferences work this way to open up dialogue space.
- **Collaboration**: lengthens and deepens the process of interaction between actors. The issues are questioned jointly by all sides.
- **Building adaptive capacity**: focuses on building multiple forms of collaborations to address multiple problems.

A2.5 Tactical theories of change

Stachowiak, 2013

What is this framework? It is often difficult to choose between different advocacy tactics, especially when resources are limited. For example, do you target the media to gain widespread public support or do you work with local communities from the ground up? At a planning stage, reviewing the five tactical theories can help explore the pros and cons of different tactics in a particular context. In evaluation, the five theories can shed light on why some tactics were more successful than others.

When is it useful? It can be a helpful reflective exercise to consider what assumptions your intervention is operating from. Have you been explicit with communicating your assumptions of how change happens?

The five tactical theories named below are drawn from different social science disciplines but all describe the theory behind many common advocacy tactics.

Tactical theories include:

- **'Messaging and Frameworks' theory (Tversky and Kahneman, 1981)**

Research has shown that decision-makers are highly influenced by the framing of a message – they don't just make decisions based on rational, objective, dispassionate assessment of all available information. As an analogy, while travelling through a mountain range, some mountains may appear different in relative height than others depending on your vantage point – you don't see the mountains as they actually are in reality but only from your framing of reality. Similarly, some decisions may seem more attractive than others depending on the framing reference. Individuals who face a certain decision problem may have a specific preference, but may have a different preference if the framing of the problem is different.

Advocates can use this to their advantage by considering reframing strategies, or investing heavily in message development. Communications and media advocacy can be important part of one's strategy to policy change (Stachowiak, 2013).

- **'Media Influence' or Agenda-Setting theory (McCombs and Shaw, 1972)**

Mass media exerts a significant influence over public perceptions. Investigating the US presidential campaigns in 1968, 1972 and 1976, McCombs and Shaw concluded that mass media influenced what voters considered to be a major issue within the campaign. The assumptions of this theory are that the media does not reflect reality, but they filter and shape it. Therefore, the media may not shape what constituents think about the issues, but they generally determine which issues are prioritised. By having the media concentrate on a particular issue, people believe that to be more important than other issues.

Advocates who focus on the broader public can raise the prominence of an issue but may not change the ideas of the public around that issue. Promising strategies to raise the awareness of the issue may be through social media campaigns.

- **'Grassroots' or Community Organising theory (Alinsky, 1971)**

Unlike power politics theory, grassroots theory of change believes power to be changeable and dynamic and not something exclusively held by the elites. Alinsky's grassroots theory of change is that power is not dominated by the elite but can be mobilised from the community. He believed that power can be created by taking collective action to achieve social change. Two things are necessary for this to occur. First the community must be critical of the current political processes

and have an opinion of how things need to be changed. Second, the community must have hope and a belief that things can change.

Advocates who work within the grassroots theory of change believe that working with many will be more beneficial. Promising strategies here include training/capacity-building, community mobilisation, awareness-building, action research, policy analysis, media advocacy, social protests and whistleblowing (Stachowiak, 2013).

- **'Group Formation' or Self-Categorisation theory (Turner, 1987)**

Self-categorisation theory refers to group formation as a process which makes social cohesion, cooperation and influence possible. The theory argues that individuals form psychological groups by forming shared social categorisation of themselves and of others. These categorisations are based on attitudes and subsequent behaviours in various situations. Looking at identity in this way can be a motivator for group formation. As members form distinct categories, the individuals learn the norms in the category and apply those norms to themselves. Members tend to accentuate these norms and similarities to achieve a positive social identity.

In building coalitions, advocates may be able to align existing groups or create groups by identifying a characteristic that will unify the allies. Promising strategies include utilising a network approach to 'weave' individuals into the group. To prevent polarisation, advocacy organisations can provide its members with consistent informational messaging that supports group alignment. It is important to develop a common agenda that ties attitudes, values and experiences of a group together and to increase the awareness of group principles and messages among members.

- **'Diffusion' theory or Diffusion of Innovations (Robinson, 2009)**

Innovations in public policy tend to be defined more broadly than the typical technology innovation. Innovations can also be considered a framing perspective, an idea, or a technique. An organisation can consider the success of an innovation by how it has diffused through the population.

A key element of new innovations is the importance of peer-peer conversations and peer networks. Adoption of new innovations carries around with this a certain amount of risk and uncertainty. Only people we know and trust and who have successfully adopted the innovation can give credible reassurances that the attempts to change won't result in risk or loss. As a result, methods of how innovations spread change depend on if you're an early adopter or part of the majority of the audience. Diffusion researchers believe that a population can be broken down into five segments depending on their adoption of a new innovation: innovators, early adopters, early majorities, late majorities and laggards.

- **Innovators**: These people are early in the adoption process. They are part of the visionary, imaginative group. They can seem dangerously idealistic but they are the ones who should be targeted to provide support and publicity for ideas. Generally this segment accounts for 2.5% of the population.

- **Early adopters**: Once the benefits start to become apparent, early adopters join in. They are looking for a strategic leap in their lives or businesses. These people thrive on having an advantage over their peers. They are vital as independent testers to iron out the wrinkles of an innovation before it joins the majority. Generally, 13.5% of the population are early adopters.

- o **Early majority:** Early majorities are pragmatists. They are comfortable with new ideas but only with solid proof of benefits. They are often cost-sensitive and risk averse. Early majority accounts for 34% of the population.

- o **Late majority**: They are conservative pragmatists who hate risks and are uncomfortable to new ideas. Late majority can account for 34% of the population.

- o **Laggards**: These people see high risk in adopting particular products. The laggards generally are 16% of the population.

Figure A5: Rogers theory of diffusion (Robinson, 2009)
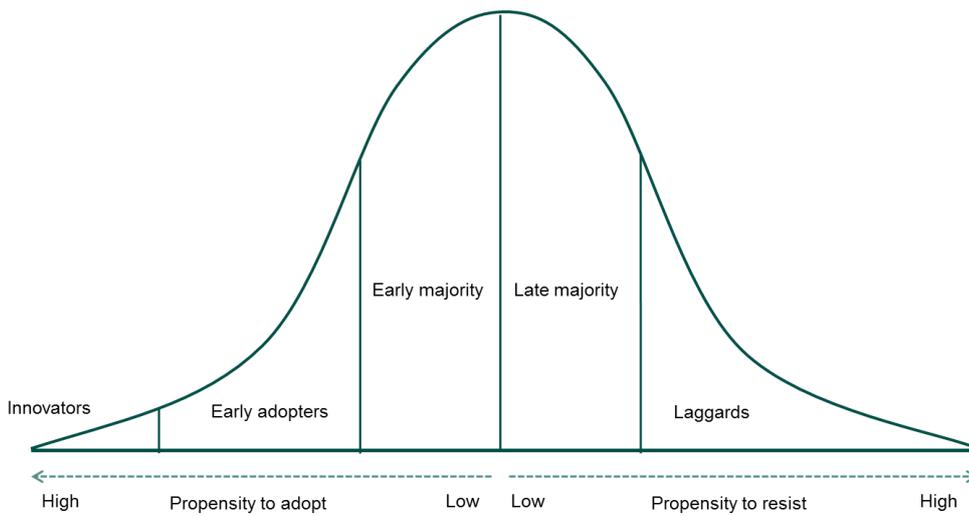
A3 Frameworks to understand levels of influence

A3.1 First, Second and Third order of change
Hall, 1993

Why this framework? This framework is useful when planning the level of effort required matching an advocacy intervention to the depth of change sought. It can also be used to as a simple gauge to evaluate the success of the intervention.

When is it useful? When considering the depth of the change you want to achieve.

'Orders of change' were originally described by Hall (1993) to discuss **the process of social learning**. He explores the link between ideas and policy-making. This framework is most useful at the planning phase to understand:

a. how deep and transformational is the change you are advocating for

b. does the policy change get to the heart of the matter?

This framework is best used by comparing the change you are advocating for with the three orders to decide which level is most appropriate. Hall (1993) separates policy change into three levels:

- **First order change** focuses on incremental changes. An example would be to increase the minimum labour wage in response to protests.
- **Second order change** occurs when policy instruments are completely altered. Following on with the above example, the government would use a living wage instead of a minimum wage as a form of a social safety net.
- **Third order of change** takes place when a new hierarchy of policy-making goals are created. Hall calls this a 'paradigm shift'. For example, the minimum wage and the living wage policy would no longer be a priority as other goals would be a higher priority such as taking account of non-economic social contributions in assigning benefits.

It is important to remember that first and second order of policy change occur in normal policy-making. First and second order of change often may not lead to the third order of policy change.

A3.2 Eight policy outcomes
Hearn (forthcoming) from Keck and Sikkink (1998) and Steven (2007)

Why this framework? When considering your advocacy strategy, this framework helps in considering what type of outcomes you are hoping to achieve: both the ultimate outcomes and the intermediate outcomes that precede these.

When is it useful? When discussing what type of policy change you are considering.

When looking at policy outcomes, it can be restricting to focus on formal policy change, i.e. change in legislation, budgets or programmes. The model below expands on these formal changes to include a spectrum of changes, from elementary shifts in attitude through to effective implementation of policy

commitments. This helps in designing frameworks to track how well interventions are performing and to plan advocacy interventions. It helps to think about these types of outcomes as a way of being clear on the type of change we want to see.

Hearn (forthcoming) modifies policy influence outcomes from Keck and Sikkink (1998) on advocacy networks in transnational policy influence and Steven's (2007) work on public diplomacy, to produce the following eight types of change:

1. **Attitudes of key stakeholders to get issues onto the agenda**: How interested and open are policy actors to your issues? What kind of evidence will convince them?
2. **Public opinion**: How are the public engaged in these issues?
3. **Capacity and engagement of other actors**: Who else is engaging in this policy area? How influential are they? What can be done to involve others or build their interest?
4. **Change in discussions among policy actors and commentators**: What are the influential policy actors saying on this issue? What language are they using?
5. **Improvements in policy-making procedure/process**: Who is consulted during policy-making? What kind of evidence is taken into account?
6. **Change (or no change) in policy content**: What new legislation, budgets, programmes or strategies are being developed?
7. **Behaviour change for effective implementation**: Who is involved in implementing targeted policies? Do they have the skills, relationships, incentives to deliver?
8. **Networks and systems for supporting delivery of change**: Are different actors working coherently together to implement policy? Are the necessary structures and incentives in place to facilitate this?

A3.3 Influence outcomes framework

Campbell & Coffman. (2009).

Why this framework? The framework is useful when considering what type of influence is needed when creating an advocacy strategy.

When is it useful? When considering what type of outcomes are possible depending on your audience.

This framework focuses on the different types of outcomes that could be used depending on the audience's level of engagement or influence.

Figure A6: Outcomes to advocacy strategies

		Systems change		Policy change
Levels of engagement	**Action**	New advocates Direct actions Constituency growth	New donors Collaboration and alignment	More or diversified funding New champions
	Will	Public will ← — — — —	Media coverage Issue reframing Salience Advocacy capacity	Political will — — — — →
	Awareness	← — — — —	Organisational visibility and recognition Attitudes and beliefs Awareness	— — — — →
		Public	**Influencers**	**Decision-makers**
		Audiences		

Appendix B: Options for monitoring and evaluating advocacy

B1 Options for evaluating strategy and direction

B1.1 Logical framework (logframe)

DFID, 2011

> **What is this method?** The purpose of the logframe is to be clear and transparent about the intervention's plan. It provides a roadmap for evaluators to determine how well the intervention has been planned.
>
> **Why use it?** The logframe is a very common planning process. If done properly, it can help with stakeholder consensus, with organising the plan, summarising assumptions and identifying indicators.

A logframe applies a clear, logical thought when trying to understand complex challenges.

The full Logical Framework Approach is meant to involve the following steps:

1. **The problem tree**: The goal of this exercise is to generate discussion on which factors are important and should be prioritised. It is best to do this exercise with a small group and flip chart paper. The main problem to be discussed would be the trunk, while all the factors that cause the focal problem become the roots of the tree. Next the consequences of the problem become the tree or the branches above the trunk. An example is given in the illustration below.

Figure A7: Example problem tree
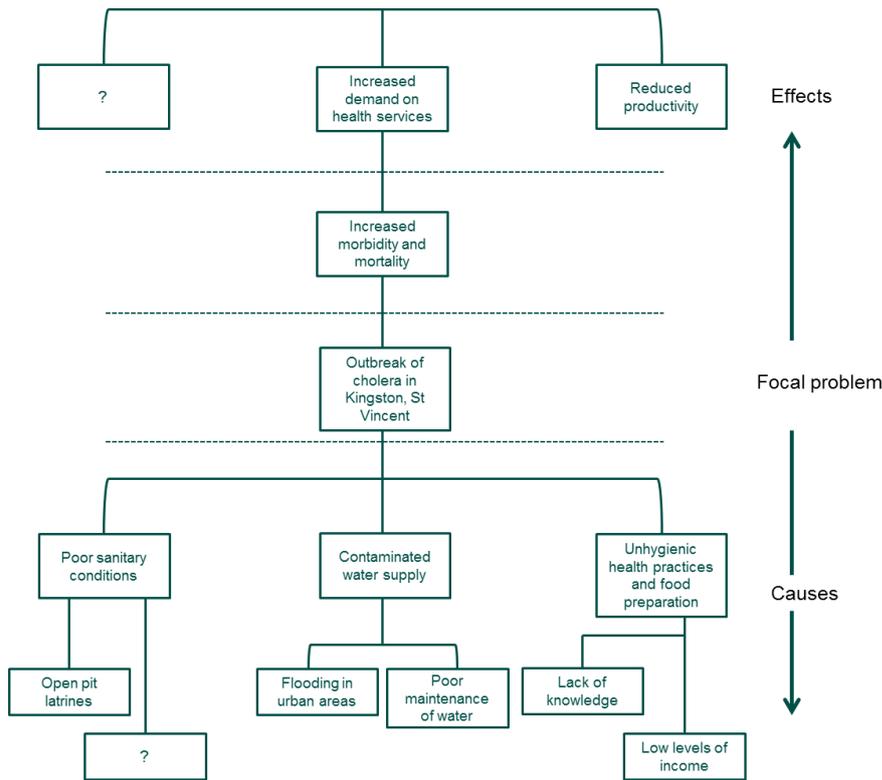
2. **The objectives tree**: The objectives tree is the problem tree but with each problem rephrased into a positive, desirable outcome. This way root causes become root solutions and demonstrate key objectives for influence or change. In the example above, 'Poor maintenance of water' would become 'Water sources and infrastructure well-maintained'.
3. **An objectives hierarchy**: The objectives identified in the objectives tree are then prioritised and the top priorities become the programme objectives.
4. **Stakeholder analysis**: This analysis maps stakeholders (either groups or individuals) depending on what they have to lose or gain from the outcomes of the programme, in order to plan how to engage with them.

Figure A8: Stakeholder interest and influence matrix
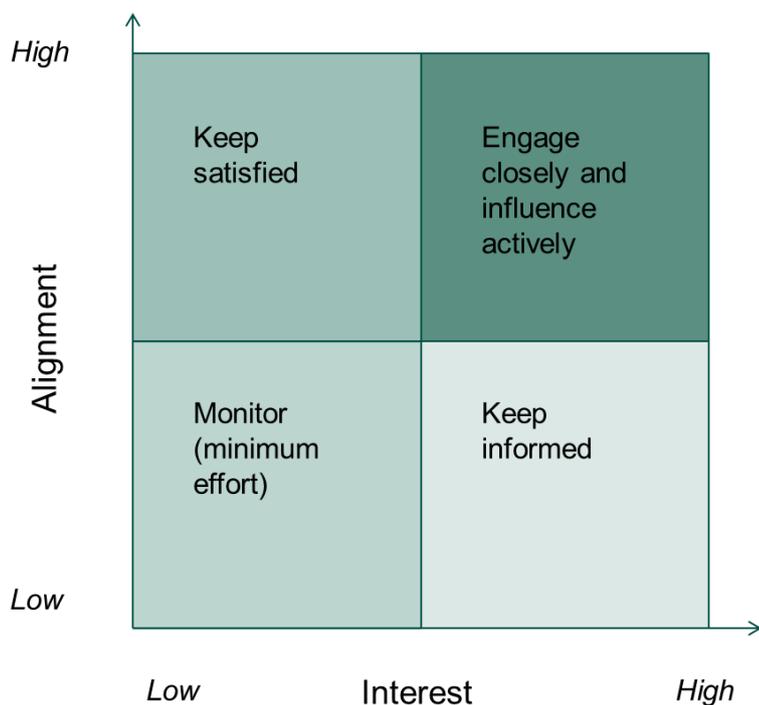
2. **Strategy**: Based on the objective priorities and understanding of the stakeholder context, a strategy is discussed and designed.
3. **Draw up the logframe**: The logframe is then filled out with the goal, outputs, indicators of success, means of monitoring and assumptions that are necessary to achieve the objectives. A detailed, well thought-through logframe can be a useful point of discussion between funders and practitioners.

Table A1: Sample logframe table

	Narrative summary	Indicators	Means of verification (M&E)	Assumptions
Goal				
Purpose				
Output (1)				
Output (2)				
Output (3)				
Output (4)				
Activities		Inputs		(Activities to output)

The logframe terminology has been defined in different ways. Here are some suggested definitions from DFID's revised guidance on the logical framework:

- **Goal**: The overall goal that the project or programme is making a contribution towards.
- **Purpose**: Observable changes in the behaviour of real people that the goal will contribute to. It should be designed in relation to the intended outcome and impact.
- **Output**: Tangible good and services that the programme will produce and others can use.
- **Activities**: What the project or programme is doing to produce the outputs.
- **Inputs**: The financial, technical and human resources required in order to do the activities.
- **Narrative summary**: Descriptive statement on purpose, outputs, and activities.
- **Indicators (or objectively verifiable indicators)**: the measurable changes that needs to happen in order to achieve Purpose and Output.
- **Means of verification (MOVs)**: These are the M&E tools that are used to find out whether the measurable changes have taken place
- **Assumptions**: Other events or conditions that are necessary for Activities to lead to Outputs, for Outputs to lead to Purpose, and Purpose to lead to the ultimate Goal.

B1.2 Social network analysis
Schelhas and Cerveny, 2002

What is this method? An analytical tool for studying relationships between stakeholders.

Why use it? To monitor the changes in relationships and structures of networks.

Social network analysis (SNA) is a process to learn and understand how formal and informal relationships work. As an ethnography tool, it is a useful technique to strategise an intervention based on the relationships within the network. The aim of the analysis is to construct a map of the linkages that exist between people in the field.

Figure A9: Example of an SNA map (Davies, 2009)

Figure A9 is an example of an SNA map. It follows the stakeholder linkages in an African ICT programme.

Key pieces of information that can be adopted include:

- Who are the relevant groups or individuals involved in this issue?
- Are there any identifiable groups or subgroups? (for example, based on location, profession, interests, values, race, ethnicity, class or gender)?
- What are the past and present relationships between them?
- Who trusts whom?
- Who and what groups have power and what is their source of power?
- Who are the formal and informal leaders in the field?
- How do people exchange information?
- Do networks change? For example, are they seasonal? Or do they vary around issues?
- What else is important in this particular field?

For more information check out these resources:

- Davies, R. (2009). The Use of Social Network Analsis Tools in the Evaluation of Social Change Communications, An input into the Background Conceptual Paper: An Expanded M&E framework for social change communications. http://mande.co.uk/blog/wp-content/uploads/2009/10/The-Use-of-Social-Network-Analysis-Tools-in-the-Evaluation-of-Social-Change-Comunications-C.pdf
- Sette, C. (2013). Using Social Network Analysis for M&E. http://betterevaluation.org/blog/Using_SNA

B1.3 Theories of change
Vogel, 2012

What is this method? Theory of change is a critical thinking exercise to work through how an intervention will lead to systematic change.

Why this method? Some practitioners favour theory of change over the logframe to communicate a programme's strategy.

A theory of change is the product of a series of critical thinking exercises to understand the short-term to intermediate changes required to create longer-term change, and to articulate the assumptions about the process of moving from short-term to medium- to long-term changes.

A theory of change provides a theory or hypothesis of how an organisation believes their intervention will work. By providing a theory, the rigour of their intervention can be tested by testing the assumptions of the theory.

To create a theory of change:

- identify a long-term goal
- conduct 'backwards mapping' to identify the preconditions necessary to achieve that goal

- identify the interventions that your initiative will perform to create these preconditions
- develop indicators for each precondition that will be used to assess the performance of the intervention
- write a narrative that can be used to summarise your theory.

For more information check out these resources:

- An Introduction to Theory of Change. http://www.hfrp.org/evaluation/the-evaluation-exchange/issue-archive/evaluation-methodology/an-introduction-to-theory-of-change
- Theory of Change: A practical tool for Action, Results and Learning. http://www.aecf.org/upload/publicationfiles/cc2977k440.pdf
- Barnett, C. & Gregorowski, R. Learning about Theory of Change for the Monitoring and Evaluation of Research Uptake. IDS Practice Paper in Brief 14. http://www.ids.ac.uk/publication/learning-about-theories-of-change-for-the-monitoring-and-evaluation-of-research-uptake

B1.4 Value for money

Fleming, 2013

What is this method? A framework to compare the monetary costs of a programme with other important values and benefits.

Why this method? There are various definitions of value for money. This method allows the evaluators to be thorough when considering value for money.

Value for money is a systematic approach to consider cost-effectiveness issues through evaluation but also during planning and implementation.

There are four key terms when considering value for money:

- **Economic:** Inputs for the project must be purchased for the lowest cost for the relevant level of quality.
- **Efficiency**: Defined by the value of outputs in relation to the total costs of the inputs.
- **Effectiveness**: Effectiveness focuses on the total cost of the outcomes in relation to the total cost of the inputs. Often effective advocacy programmes are extremely cost-effective as they can produce major changes from strategic inputs.
- **Equitable**: The benefits should be distributed fairly, for example additional costs may be needed to reach more remote beneficiaries.

There are six main methods used to determine value for money in a programme.

- Cost-effectiveness analysis
- Cost-utility analysis
- Cost-benefit analysis
- Social return on investment
- Rank correlation of costs vs impact
- Basic efficiency resource analysis

For more information check out these resources:

- BetterEvaluation's guide *Evaluation methods for assessing Value for Money* http://betterevaluation.org/sites/default/files/Evaluating%20methods%20for%20assessing%20VfM%20-%20Farida%20Fleming.pdf
- DFID's Approach to Value for Money https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/67479/DFID-approach-value-money.pdf
- Barnett, C., Barr, J., Christie, A., Duff, B., & Hext, S. (2010). Measuring the Impact and Value for Money of Governance & Conflict Programmes. http://www.bond.org.uk/data/files/Itad-2010_vfm-report.pdf

B2 Options for monitoring management and outputs

B2.1 Coalition Capacity Checklist
Raynor, 2011

What is this method? An assessment of coalition capacity.

Why this method? The Coalition Capacity Checklist helps coalitions take a quick stock take of themselves. It is not meant to be all inclusive but can be useful in determining an organisations' strengths and weaknesses.

Coalition building is a very specific advocacy strategy where an organisation or members of a coalition commit to a purpose and shared decision-making to influence an external institution, while each member organisation maintains its own autonomy.

The Coalition Capacity Checklist are characteristics drawn from concrete and systematic examinations of coalitions drawing from TCC's work in organizational development and effectiveness.

Table A2: Coalition Capacity Checklist

	Excellence	Better than Average	Average	Needs Improvement	Non Existent in Our Coalition
Leadership					
The goal of the coalition is clearly stated and understood by all members					
The coalition can articulate why it is the appropriate vehicle for addressing the goal					
Adaptive					
The coalition continuously monitors the advocacy environment in order to make strategic decisions					
The coalition has a strategic plan that is action oriented					
Management					
The coalition has frequent and productive communication with all members					
Members actively participate in coalition activities					
Technical					
The coalition has a diverse and relevant membership.					

The coalition has sufficient skills to communicate with members			
Culture			
Members in the coalition trust each other			
Members in the coalition respect each other			

The information presented here is a preliminary look at the tool Please find more information in these resources:

- Jared Raynor's *Guide What Makes an Effective Coalition?* http://www.mcf.org/system/article_resources/0000/1297/What_Makes_an_Effective_Coalition.pdf
- *Raynor, J., York, P., & Sim, S-C. (2009). What Makes an Effective Advocacy Organization? A Framework for Determining Advocacy Capacity.* http://www.calendow.org/uploadedFiles/Publications/Policy/General/EffectiveAdvocacy_FINAL.pdf

B2.2 Fit for purpose reviews

Hovland, 2007

What is this method? A review to determine a programme's governance and management processes.

Why this method? Fit for purpose is an excellent tool to determine if a programme's governance processes were appropriate given the programme's given purpose.

'Fit for purpose' is defined as whether the governance and management processes of an organisation or intervention were appropriate for the programme's stated purpose. Fit for purpose reviews focus on the programme's governance and management. Evaluators adopt basic approaches of reviewing to determine if the programme is 'fit for purpose'.

The usual processes to determine if a programme is 'fit for purpose' requires document reviews and a comprehensive set of interviews with key internal and external stakeholders. Focus is usually on management structures, decision-making, communication, reporting, monitoring, human and financial resource management. Through interviewing and reviewing, the evaluators compare the programme's actual processes with its stated purposes.

B2.3 Scoring rubric

Adams, 2012

What is this method? An approach which forms a rubric to unpack an indicator and define multiple levels of success.

Why this method? The scalar model works to judge the performance of the evaluation. Using criteria and standards helps us to understand on what basis should we evaluate this.

Scoring rubrics are a way to communicate expectations of quality around a specific task. Often scoring rubrics are used in education as a consistent criterion for grading.

Recently, six large non-governmental organisations[2] used a type of rubric to measure their advocacy and empowerment work called the *scalar approach.* This uses ordinal scales to review different aspects of a programme and to track change. The scale unpacks different levels of success when engaging with policy-makers, in order to define multiple levels of success. For example, World Vision's Influence and Engagement tool uses the scalar approach to unpack what success looks like when a community engages with policy-makers.

Table A3: An example of World Vision's Influence and Engagement tool using a scalar model

Level	Influence and engagement
0	Communities have no meetings or engagement with significant development actors (SDA).
1	Community representatives have occasional meetings with SDA but no participation/consultations.
2	Community representatives have some meetings with SDA, information not widely accessible.
3	Community representatives have some meetings with SDA, limited opportunity to ask.
4	Community representatives have regular meetings with SDA, their opinion is sought and considered.
5	As above… and are given sufficient information to monitor their implementation plans.
6	Community representatives have regular meetings with SDA and are consulted on proposed plans.
7	As above (6)… and there is evidence that proposed plans have been influenced by their opinion.
8	Regular meetings between communities and SDAs with accessible information, clear agendas, active participation, and minutes showing community viewpoints
9	Meeting minutes show that action will be taken as a result of input from the

---

[2] ADD, CAFOD, Progressio, VSO, World Vision and Restless Development

	community.
10	Evidence of a sustained policy or practice change as a result of input from the community.

The levels of engagement are then triangulated with other pieces of evidence either through interviews or documentation.

The tool allows agencies to develop a more nuanced picture when dealing with complex policy processes, and to move away from vague definitions such as 'good', 'average' or 'poor' progress and to define what these look like in practice. The scales can be used in ongoing monitoring and evaluation of advocacy programmes and are particularly useful for providing quick feedback and comparison.

B2.4 Multi-Criteria Decision Analysis (MCDA)
Department for Communities and Local Government, 2009

What is this method? MCDA is a tabular format to make a decision based on multiple criteria.

Why this method? It may be useful when faced with a complicated decision and the need to be transparent with all the criteria used in making the decision.

The main purpose of MCDA is to help with decision-making in the face of large volumes of complex information. The goal of this analysis is to sort out priorities and give a ranking of different options while being explicit about the values used in the prioritisation. This tool has been used and documented by the Department for Communities and Local Government (2009) in the UK.

There are eight main steps to applying MCDA.

1. Establish the decision content. At this stage, it is important to establish the aims of the MCDA, identify the key decision-makers and other key players. Choosing the key stakeholders and when they need to contribute to MCDA is an important social aspect of the design. Context needs to be understood for an effective MCDA.
2. Identify the options to be appraised.
3. Identify objectives and criteria: each objective must have its consequences analysed.
4. Scoring: Assess the expected performance of each option against the criteria. Assess the value associated with the consequences of each option for each criteria. It is important to check the consistency of the scores on each criterion.
5. Weighting: Assign weights for each of the criteria to reflect their relative importance to the decision. After weighting has been applied, assess whether the weights for each of the criteria reflects its relative importance to the decision.
6. Combine the weights and scores for each option to derive an overall value.
7. Examine the results. Agree on a way forward or make recommendations.
8. Conduct sensitivity analysis. This is the opportunity to check with the overall ordering of the options and determine if the objectives and criteria reflect the values of the decision.

Table A4: Example of MDCA decision scoring

NGO	Grant	Has a theory of change	Works with local authorities	Has a policy to influence strategy	Number of inter-ventions	Years working together
A	£200,000	Yes	No	No	2	3
B	£500,000	No	Yes	No	3	4
C	£800,000	Yes	Yes	Yes	5	5

B2.5 Impact logs
Hovland, 2007

What is this method? A method to keep track of the informal feedback, comments and anecdotes a programme receives.

Why this method? It is a non-systematic way of assessing user perceptions.

Impact logs are useful to keep track of some of the direct responses that the intervention output trigger and this in turn informs programme evaluation. An impact log is a list of the informal feedback, comments and anecdotes that a programme receives from people who have encountered or used its research outputs. It is not a systematic way of assessing user perceptions, rather a way of capturing the qualitative and non-systematic feedback of interventions that would otherwise get lost. As the impact log grows longer, the cumulative effect can be valuable in assessing where and how the project or programme is triggering the most direct responses, informing future programming choices.

B3 Options for monitoring and evaluating outcomes and impact

B3.1 Stories of change
Action Aid, no date

> **What is this method?** Stories of change is a narrative case study approach that reports the circumstances of an observed change and the likely factors influencing it.
>
> **Why this method?** Stories of change investigate contributions to interventions or the question *why did it happen?*

The 'stories of change' method is an inductive case-study method to investigate and report on the contribution of an intervention to specific outcomes (Action Aid). The stories do not report the activities and outputs of the intervention but rather the mechanisms and pathways by which it was able to influence a particular change that has been observed: for example a turnaround in government policy, the establishment of a new programme or the enactment of new legislation. The change being described in the story can be an expected change that the intervention was targeting or it can be an unexpected change that was observed but was a surprise – which itself can be positive or negative with respect to the original objective. Stories could also describe how an intervention failed to influence an expected change, in which case they analyse the possible reasons why.

There are **three major steps** to writing a story of change:

1. **Choosing the story**: the choice which story to write about is usually prompted by the emergence of a success (or failure). This may become evident through any of the data collection methods described above (e.g. through a journal or impact log) – so there is already a sense, or hunch, that the intervention has made a significant enough contribution to make an interesting story.
2. **Gather the evidence**: this is the most time-consuming and difficult part of the process but also the most important. To really understand the contribution of the intervention and provide a plausible enough argument you will most likely have to search for additional information. This will involve interviewing key stakeholders and programme staff to trace the influence of your work and identify the mechanisms which led to the change. This should also involve an element of substantiation through, for example, consulting experts in the field or those close to the change at hand.
3. **Writing the story**: stories should be relatively short – two to four pages is sufficient – and written as a simple narrative that leaves an impression. It should make a clear case for the intervention, describing the situation or challenge that it was responding to and how it intended to engage. It should focus on who was doing what, when, and what effect that had, and it should discuss the success or failure factors and any lessons to take forward to future interventions. Depending on the primary learning purpose, different emphases can be placed on different elements – for example, if course correction is primary then focusing on failures or points for improvement would be prioritised, whereas if the primary purpose was for external promotion and advocacy then the focus would be on the end result and the contribution of the intervention.

The stories themselves are useful for communication purposes and for describing evaluation findings in a clear and engaging way.

B3.2 Most significant change

Davies and Dart, 2005

What is this method? MSC is similar to stories of change, collecting significant change stories but selecting them in a more systematic method.

Why this method? MSC is useful when you want to weigh up the perspectives of a number of different stakeholders and to come to a shared agreement about the most important changes that have occurred.

The most significant change (MSC) technique is a participatory monitoring and evaluation approach based on the idea of stories of change but incorporating a systematic selection process to how stories are chosen. The process involves collecting significant change stories from grantees, partners or beneficiaries about how things are changing. When the changes have been captured, they are read back to a selected group of people, and an in-depth discussion about the value of these changes occurs.

The central part of MSC is an open question to participants: 'What do you think was the most significant change in the quality of people's lives in this community?'.

There are **10 steps** to this methodology:

1. Establish champions and raise interest
2. Establish domains of change
3. Define the reporting periods
4. Collect stories of change
5. Review the stories of change within the organisational hierarchy
6. Provide stakeholders with regular feedback about the review process
7. Verify the stories
8. Quantification of the stories
9. Conduct secondary analysis of the stories en masse
10. Revise the MSC process
11. When taken together, the collected stories, and their ranking, can provide important information about the processes and causal mechanisms that bring about change, and the situations and contexts in which change happens (or doesn't).

B3.3 Bellwether method

Blair, 2007

What is this method? The bellwether is a method that determines the position of the proposed change on the policy agenda.

Why this method? The bellwether method is a sample strategy that helps answer the question *what happened?*

The Bellwether method was developed by the Harvard Family Research Project to determine where a policy issue or proposed change is positioned on the policy agenda, the perceptions of key actors, and the level of traction it has among decision-makers (Coffman and Reed, 2007). As well as generating information on familiarity and influence of the intervention, this study method can also yield

important information for policy influencers to help them better understand the policy context, to hone strategies and craft the right messages.

The method involves interviewing particularly influential people, or 'bellwethers', to determine what they know and think about a particular policy issue. As Coffman and Reid explain: 'Bellwethers are knowledgeable and innovative thought leaders whose opinions about policy issues carry substantial weight and predictive value in the policy arena.' They can include policy-makers, advocates, think tanks/academia, media, business representatives or funders.

The bellwether method is similar to other structured interview techniques but has two important differences. Firstly, at least half of the sample should have no special or direct link to the policy issue at hand – this will increase the likelihood that any knowledge detected during the interview will be due to the intervention rather than through personal involvement. Secondly, bellwethers should be unaware of the policy issue to be discussed until the interview itself. They should be informed of the general purpose and topic of the interview but should not be given specific details. This will ensure that their responses are authentic and unprompted.

The method provides data about an advocate's strategy for success. It indicates if the issue is part of the policy agenda and determines if the advocates have managed to create greater visibility. By interviewing bellwethers, it gives analytical information of what type of messaging and approaches make the best impressions.

This is a sample interview protocol suggested by Coffman and Reid:

- What three issues do you think are the top of the policy agenda?
- Considering the state's current educational, social and political context, do you think the state should adopt [this policy] now or in the near future?
- Looking ahead, how likely do you think that this policy will be established in the next five years?
- Currently, which individuals, constituencies or groups do you see as the main advocates for this policy? Who do you see as the main opponents?
- If the policy was established, what issues do you think the state will need to be most concerned with relating to its implementation?

B3.4 Stakeholder analysis

What is this method? A method to determine stakeholders that have invested in the intervention.

Why this method? This method may be useful if you want to determine if an organisation has increased the number of favourable stakeholders, or to determine which stakeholders to interview to determine success of the intervention.

Stakeholder analysis is similar to social network analysis. Stakeholder analysis allows you to prioritise which stakeholders are aligned with your organisation's interests, and which are in positions of power. By prioritising which organisations to engage with along interests and power, it is possible to develop a strategy on how best to engage with different stakeholders, or how to best present information that is useful to them.

Step 1: Clarify the policy change objective that is being discussed.

Step 2: Identify all the stakeholders or interest groups associated with this objective. Stakeholders can be organisations, groups, departments, structures, networks, or

individuals. It is important to make the list exhaustive to ensure nobody is left out. The table below gives some examples, but the individual stakeholders listed will vary depending on context.

Table A5: Examples of stakeholders

Private sector stakeholders	Public sector stakeholders	Civil society stakeholders
Corporations and businesses Business associations Professional bodies Individual business leaders Financial institutions	Ministers and advisors (executive) Civil servants and departments (bureaucracy) Elected representatives (Legislature) Courts (Judiciary) Political parties Local governments/councils Military Quangos and commissions International bodies (World Bank, UN)	Media Church/religion Schools and universities Social movements and advocacy groups Trade unions National NGOs International NGOs

Step 3: Using the grid in Figure A10, organise the stakeholders in the different matrices according to their interests and power. 'Interest' is defined as to what degree they are likely to be affected by the policy change. 'Alignment' is defined by how closely aligned the organisation is with your organisation's values.

Figure A10: Stakeholder analysis diagram (ODI)
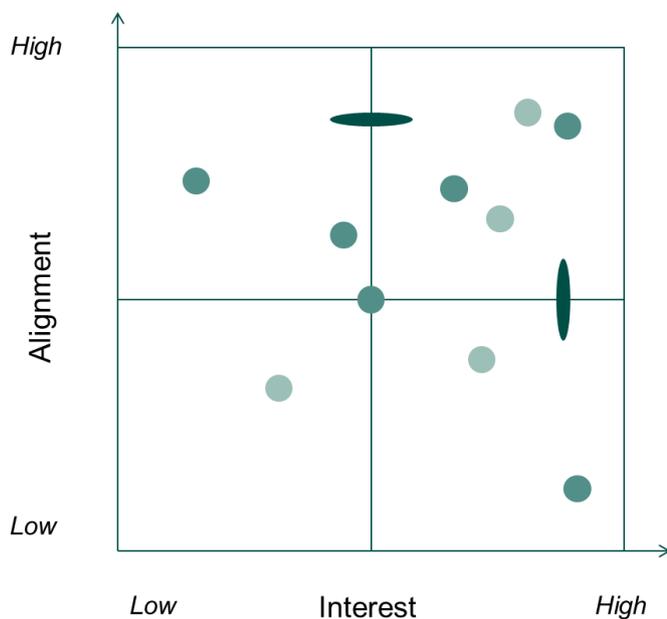
Stakeholders with high alignment and high interest are important to fully engage in your influence strategies. These are also known as boundary partners (Earl, Carden and Smutylo, 2001).

The idea of boundary partners is a form of actor-centred theory of change and comes from the Outcome Mapping methodology (ibid.). This method helps in

identifying the immediate partners, targets or audiences with whom the interventions will influence directly to bring about change in the system. It can be used as a strategy tool to help decide how to engage but can also be used to focus monitoring and evaluation on priority areas.

Outcome Mapping defines boundary partners as the individuals, groups or organisations with whom programmes interact directly and are looking to influence. In the context of advocacy this means the primary stakeholders or policy actors that are being targeted in order to influence their action, relationships, policies or attitudes. Through making choices about boundary partners, a programme is constructing a theory of how to engage to bring about change; who are the influential actors who can be leveraged and who has influence on the people or organisations that really need to change. By discussing how the programme expects to see impact unfold through their boundary partners, it helps to identify what kind of behaviours we expect to see from our boundary partners and how we expect to see change on the ground – thus it provides a very practical model for monitoring progress.

B3.5 Progress markers and journals
Earl, Carden and Smutylo, 2001

What is this method? Progress markers elaborate on describing on changes of behaviour.

Why this method? Progress markers help fulfil the task *on what basis do we evaluate this?* It helps to identify the purpose of the evaluation and what standards to use.

Progress markers are another tool from Outcome Mapping (Earl et al., 2001). They are a specific kind of scalar approach that describes a progression of behaviour change for a particular actor or boundary partner. Progress markers are always described as changes in behaviour because this is the most practical (and feasible) way of observing change in an actor – it may be that we are seeking to influence their perception of an issue (for example, attitude towards a minority group) but the only way we will know if these changes have come about is through changes in behaviour, actions or relationships. The three levels of change are defined in this way:

- Expect to see: the minimum change we would expect to see in response to the programme. These are often reactive indicators.
- Like to see: these indicators often reflect a more active and engaged behaviour.
- Love to see: a profound change occurs in the boundary partner. This should be sufficiently high to see deep changes.

Progress markers are not a description of how change must occur, rather they describe milestones that indicate progress towards an end goal – a theory that is regularly monitored. If the programme does not see changes in the target stakeholders over a period of time, the programme must ask if these are the right markers and if they are still appropriate.

Progress markers can be used as the basis for outcome journals, which record data on the observed outcomes. If used systematically, outcome journals can help the programme gauge whether its contributions are having the desired effect.

B4 Options for understanding causes

B4.1 Experimental design

What is this method? An evaluation design that requires randomisation and a control group. Randomised control trials are one type of experimental designs.

Why this method? This method generates precise information about the intervention cost and benefits, generally to gain information about scaling up the intervention. It is best used when there is a comparison group available.

Experimental designs require pre-test and post-test evaluations with random assignments to intervention and comparison groups. A blueprint of the procedure would require the practitioner to maintain control over all factors that may influence the result of the intervention. It is often used in exploring time priority in causal relationships (when cause precedes effect). After the experiment, the difference between the intervention and the comparison group can be attributed to the effect of the intervention. These types of tests require a statistically large sample size for the results to be significant.

These types of randomised experiments are often difficult to perform in real-world scenarios as they require a comparison group that is equal in all variables except the one the intervention is trying to influence.

For more information check out these resources:

- White, H. & Philips, D. (2012). *Addressing attribution of cause and effect in small n impact evaluations: towards an integrated framework*. 3ie Working Paper 15. http://www.3ieimpact.org/en/evaluation/working-papers/working-paper-15/
- Gertler, P.J., Martinez, S., Premand, P., Rawlings, L.B., & Vermeersch, C.M.J. *Impact Evaluation in Practice*. The World Bank. http://siteresources.worldbank.org/EXTHDOFFICE/Resources/5485726-1295455628620/Impact_Evaluation_in_Practice.pdf

B4.2 Process tracing

Collier, 2011

What is this method? Process tracing is an analytical method to draw out a causal hypothesis.

Why this method? This tool is useful to determine causal theories through stakeholder interviews.

Process tracing is an analytical tool for analysing descriptive and causal hypotheses of how evidence is used. The tool is useful in identifying new contexts, assessing new causal theories, gaining understanding into causal mechanisms and providing an alternative method to the old models. They are especially useful when the sample size is small. This is the method Sir Arthur Conan Doyle uses as Sherlock Holmes' deductive reasoning.

Process tracing method involves interviews, review of documentation and triangulation of information. The evaluators then find different theories of the causal effect, and difference pieces of evidence. They determine if each piece of evidence is **necessary** or **sufficient** to affirm the causal inference.

- Is the evidence **necessary** for affirming causal inference? If the answer is yes the evidence strengthens the possibility of the causal claim. If the answer is no, then the evidence eliminates the theory.
- Is the evidence **sufficient** for affirming the causal inference? If the answer is yes the evidence confirms the causal claim. If the answer is no, more evidence is needed.

The evidence test for yes or no for necessity and sufficiency will give you indications of which causal claim is the one that is most likely to have occurred.

Figure A11: Description of the four different tests used for process tracing (Collier, 2011)

		Sufficient for affirming causal inference	
		No	**Yes**
Necessary for affirming causal inference	**No**	**1. Straw in the wind** a. **Passing**: affirms relevance of hypothesis but does not confirm it b. **Failing**: hypothesis is not eliminated but is slightly weakened c. **Implications for rival hypotheses**: Passing slightly weakens them Failing slightly strengthens them	**3. Smoking gun** a. **Passing**: confirms hypothesis b. **Failing**: hypothesis is not eliminated by is somewhat weakened c. **Implications for rival hypotheses**: Passing substantially weakens them Failing somewhat strengthens them
	Yes	**2. Hoop** a. **Passing**: affirms relevance of hypothesis but does not confirm it b. **Failing**: eliminates hypothesis c. **Implications for rival hypotheses**: Passing somewhat weakens them Failing somewhat strengthens them	**4. Doubly decisive** a. **Passing**: confirms hypothesis and eliminates others b. **Failing**: eliminates hypothesis c. **Implications for rival hypotheses**: Passing eliminates them Failing substantially strengthens them

These 'four tests' help to classify different pieces of evidence to determine the probability of a scenario of events. None of these tests are decisive to prove the relationship between cause and effect but they increase the plausibility of a given hypothesis. Thus it is necessary to use a combination of the four tests to increase the probability of causality.

For more information check out these resources:

- Oxfam. Process Tracing: Draft Protocol. http://policy-practice.oxfam.org.uk/~/media/Files/policy_and_practice/methods_approaches/effectiveness/Process-tracing-draft-protocol-110113.ashx

B4.3 Contribution analysis

Mayne, 2008

> **What is this method?** An analytical tool comparing the original programme strategic plan, and assessing the contribution story.
>
> **Why this method?** It can be a useful tool to understand the causality of impact through assessing the contribution story and comparing to the original strategic plan.

Contribution analysis explores correlation of impact through assessing the contribution of observed results. It works to verify a theory of change, rather than situations where the intervention is conducted as a controlled experiment (which is very rare for advocacy). The relationship between cause and effect is inferred through the following pieces of evidence:

- The programme is based on a reasoned theory of change, assumptions about why the programme is expected to work are agreed upon.
- The activities of the theory of change are implemented.
- A chain of expected results occur.
- Other factors influencing the programme are assessed and either demonstrated to have a significant contribution, or a relative contribution.

The methodology follows six steps.

Step 1: Set out the attribution problem to be addressed. This involves determining the cause-effect question you are examining, determining the level of confidence and what type of contribution is expected. Finally, assess the plausibility of the expected contribution in relation to the size of the programme.

Step 2: Develop the theory of change and the risks to it. When building the theory of change and the results chain, list the underlying assumptions. Next, determine how much of the theory of change is contested.

Step 3: Gather existing evidence of the theory of change and assess the logic of the links.

Step 4: Assemble and assess the contribution story and possible challenges to it. Questions at this stage can include what links in the results chain are strong and which are weak? How credible is the story overall? Do the stakeholders agree with the story? What are the main weaknesses of the story? What key assumptions are validated?

Step 5: Seek out additional evidence. Through the analysis in step 4, determine what new data is required, adjust the theory of change and then gather more evidence.

Step 6: Revise and strengthen the contribution story. The new evidence should build a more credible story.

Contribution analysis works best in an iterative process. After Step 6, return to step 4 if more evidence is required for a more convincing argument. See: http://www.cgiar-ilac.org/files/ILAC_Brief16_Contribution_Analysis_0.pdf

B4.4 General elimination method

What is this method? An analysis technique that eliminates all rival explanations to find the most prominent explanation.

What M&E task does this fulfil? It can add to the strength of evidence for a cause and effect relationship.

General elimination method has two stages:

1. Identify all possible explanations. Through key informant interviews, previous evaluations and research, and brainstorming, as many possible alternative explanations should be considered.
2. Gather and analyse data to determine if the possible alternative explanations can be ruled out.

B4.5 RAPID Outcome Assessment (ROA): Retrospective
RAPID

What is this method? ROA maps out boundary partners and key behaviours on a timeline and makes links between influence and behaviour change.

What M&E task does this fulfil? ROA works to understand influences on policy and answer the question *why did it happen?*

RAPID Outcome Assessment, named after the RAPID Programme at ODI which developed it, is a tool to help better understand the influences of different factors on policy. It focuses on describing the context, the project, the key actors and their behaviours; how this changed over time and what influences the project has had over key behaviour change. It requires an intensive workshop with team members and project partners.

The method has three main stages (Leksmono et al., 2006):

Stage 1: Background research and preparation to form a basic understanding of the situation. It will require review of reports, papers and conversations with project staff and stakeholders. Case studies can be conducted of the project activities to describe what has been done, when, by whom, with whom. These can be complemented with 'episode studies' which are like case studies but focus on an identified policy change and track back to identify the factors which led to that change.

Stage 2: A workshop is convened to bring together the compiled information along with the operational knowledge of the programme team and the contextual knowledge of other stakeholders. It requires: a) mapping of the timeline of the initiative; b) mapping of key changes among different policy and intermediary actors; c) mapping of important changes in the external environment; and d) mapping of links and influences between these different points. For example, see Figure A12.

Figure A12: A completed ROA map
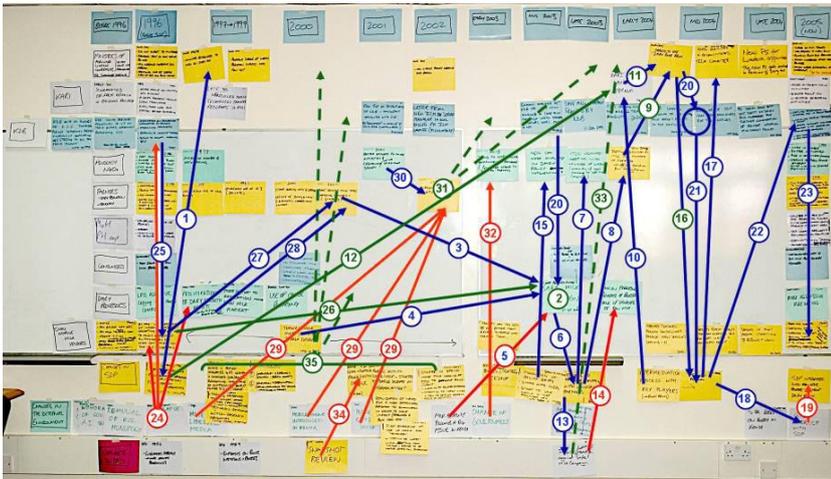
Stage 3: Triangulate and refine conclusions. Through the information gathered, the team should be able to describe the contributions of the project through observed outcomes. The timeline identifies informants to interview which will help to triangulate the information and determine the nature of the contribution to change.

Figure A12 shows an example of a completed ROA map. Time runs from left (start of the initiative) to right (current day). Each horizontal line represents a different policy or intermediary actor (e.g. media). The boxes in each line describe observed, verified changes that have occurred among those actors. The bottom two lines represent the project activities and the external environment. The lines were added during the workshop to indicate causes. Each line is backed up with a statement providing the rationale behind the causal link.

B4.6 Qualitative Comparative Analysis
Ragin, no date

> **What is this method?** This method uses comparison between multiple situations to determine combinations of causal conditions.
>
> **Why this method?** This method may be useful if there are many case studies with multiple factors to consider.

Qualitative Comparative Analysis (QCA) is a method that bridges qualitative and quantitative analysis. With QCA it is possible to study different combinations of causal conditions. It is important to use the necessity and sufficiency heuristic as shown in process tracing methods. QCA method builds in counterfactuals within the methodology.

Step 1: Identify the relevant cases and causal conditions. In identifying the outcomes, separate the possible outcomes into 'positive' cases, where they prove the relationship between intervention and observed impact, and 'negative' cases where the relationship was not proven. For example, Ragin wants to identify the number of positive instances where the International Monetary Fund (IMF) imposed conditions of debt conditionality which resulted in mass protests. Countries that have undergone debt conditionality and had massive protests are positive cases, where countries with debt conditionality without protests are negative cases. Other causal conditions are also identified and measured.

Step 2: Construct a truth table and resolve the contradictions. The table tabulates all of the positive and negative cases and correlates all of the causal conditions.

Figure A13: Example of a truth table, correlating all the causal conditions with respect to IMF conditionality and protests.

Row#	Prior mobiliz.?	Severe austerity?	Gov't corrupt?	Rapid price rise?	Cases w/ protest?	Cases w/o protest	Consis-tency
1	0 (no)	0 (no)	0 (no)	0 (no)	0	0	??
2	0 (no)	0 (no)	0 (no)	1 (yes)	0	0	??
3	0 (no)	0 (no)	1 (yes)	0 (no)	0	4	0.0
4	0 (no)	0 (no)	1 (yes)	1 (yes)	1	5	0.167
5	0 (no)	1 (yes)	0 (no)	0 (no)	0	0	??
6	0 (no)	1 (yes)	0 (no)	1 (yes)	4	0	1.0
7	0 (no)	1 (yes)	1 (yes)	0 (no)	0	0	??
8	0 (no)	1 (yes)	1 (yes)	1 (yes)	5	0	1.0
9	1 (yes)	0 (no)	0 (no)	0 (no)	0	3	0.0
10	1 (yes)	0 (no)	0 (no)	1 (yes)	1	7	0.125
11	1 (yes)	0 (no)	1 (yes)	0 (no)	0	10	0.0
12	1 (yes)	0 (no)	1 (yes)	1 (yes)	0	0	??
13	1 (yes)	1 (yes)	0 (no)	0 (no)	1	5	0.167
14	1 (yes)	1 (yes)	0 (no)	1 (yes)	6	0	1.0
15	1 (yes)	1 (yes)	1 (yes)	0 (no)	6	2	0.75
16	1 (yes)	1 (yes)	1 (yes)	1 (yes)	8	0	1.0

Step 3: Analyse the truth table. Software is required to analyse the truth tables. The software is freely available on the Better Evaluation website. The software compares all the conditions and is able to determine the strength of the relationships between each of the causes. For example, in the above case, anti-IMF protests erupt when there is severe austerity when combined with rapid price increase, combination of prior mobilisation, government corruption and non-repressive regimes.

Step 4: Evaluate the results. The last step is to interpret the results. Do the combinations make sense? Analyse the findings to determine if it makes sense.

References

Act Development (no date) *A guide to assessing our contribution to change* (www.actalliance.org/resources/policies-and-guidelines/impact-assessment/IA-Guide-eng-v1.pdf)

Action Aid (no date). *Critical Stories of Change* (http://207.254.216.62/news/publications/stories_of_change/)

Adams, J. (2012). *Using Scalar Approaches to Monitor Advocacy and Empowerment Work*. Produced for the PPA Learning Group on Measuring Results in Empowerment and Accountability. (http://bond.brix.fatbeehive.com/data/files/Effectiveness_Programme/research/Scalar Approaches.pdf)

Adams, J. (2007) *Learning and accountability: a monitoring and evaluation consultant's perspective*. PraxisNote 32. London: INTRAC.

Alinsky, S. (1971) *Rules for Radicals*. London; Vintage, Random House.

Almquist, A. (2011) *CDC Coffee Break: Attribution versus Contribution. (*www.cdc.gov/dhdsp/pubs/docs/April_2011_CB.pdf. [Accessed 20 February 2014]).

Anderson, J.E. (1994) *Public Policymaking*. 2nd ed. NJ: Prence Hall.

Aspen Institute. (2011) *Attribution or contribution.* (http://fp.continuousprogress.org/node/78 [Accessed 20 February 2014]).

Bakewell, O. and Garbutt, A. (2005) *The use and abuse of the logical framework approach*. Stockholm: Swedish International Development Cooperation Agency.

Barkhorn, I., Huttner, N. and Blau, J (2013) 'Assessing Advocacy'. *Standford Social Innovation Review, Spring 2013.* (www.ssireview.org/articles/entry/assessing_advocacy)

Baumgartner F.R., and Jones B.D. (1993) *Agendas and instabilities in American politics*. Chicago: The University of Chicago Press.

Bayne, S. (2013) *Evaluation of ODI's EDCSP Project*. Bristol: The Create Centre.

Befani, B. (2012) *Models of Causality and Causal Inference*. London: Department for International Development.

Beynon, P. & Fisher, C. (2012) *What Difference does a Policy Brief Make?* Brighton: Institute of Development Studies.

Blair, E. (2007) 'Evaluating an Issue's Position on the Policy Agenda: The Bellwether Methodology,' *The evaluation exchange* XIII(1&2) Spring 2007. (www.hfrp.org/evaluation/the-evaluation-exchange/issue-archive/advocacy-and-policy-change/evaluating-an-issue-s-position-on-the-policy-agenda-the-bellwether-methodology)

Chapman, J and Wameyo, A. (2001) *Monitoring and Evaluating Advocacy: A Scoping Study.* London; Action Aid. (www.g-rap.org/docs/monitoring_and_evaluation/chapman-wameyo_2001_me_on_advocacy.pdf)

Clarke, J., Mendizabal, E., Leturque, H., Walford, V., and Pearson, M. (2009) *DFID Influencing in the Health Sector.* DFID Working Paper 33. November 2009. London: Department for International Development. (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/67716/health-influencing.pdf)

Clay, E.J. and Schaffer, B.B (eds) (1984) *Room for Manoeuvre, An Explanation of Public Policy in Agriculture and Rural Development.* London: Heinemann.

Coe, J. and Majot, J. (2013) *Monitoring, Evaluation and Learning in NGO Advocacy. Findings from Comparative Policy Advocacy MEL Review Project.* (http://www.oxfamamerica.org/static/media/files/mel-in-ngo-advocacy-full-report.pdf)

Coffman, J. (undated) *Monitoring and Evaluating Advocacy: Companion to the Advocacy Toolkit.* Washington;DC, UNICEF. (www.unicef.org/evaluation/files/Advocacy_Toolkit_Companion.pdf.)

Coffman, J. (2007) 'What's Different About Evaluating Advocacy and Policy Change?' *Theory and Practice,* 13(1).

Coffman, J. and Reed, E. (2007) *Unique Methods in Advocacy Evaluation.* Innovation Network. (www.innonet.org/resources/files/Unique_Methods_Brief.pdf)

Campbell, M., & Coffman, J. (2009). *Tools to support Public Policy Grandmaking.* (http://www.innonet.org/client_docs/File/center_pubs/public_policy_grantmaking.pdf)

Coffman, J. (2011) *Lessons learned Evaluating a Think Tank/Advocacy Organisation.* Presentation at the Environmental Evaluators Network Forum. (http://www.environmentalevaluators.net/wp-content/uploads/2011/07/1-2-morariu-lessons-earned-eenf2011-handout.pdf)

Collier, D. (2011) 'Understanding Process Tracing'. *Politica Science and Politics* 44(4): 823-30. (www.ukcds.org.uk/sites/default/files/uploads/Understanding-Process-Tracing.pdf)

Crewe, E. and Young, J. (2002) *Bridging Research and Policy: Context, Evidence and Links.* Working Paper 173. London: Overseas Development Institute. (www.odi.org.uk/sites/odi.org.uk/files/odi-assets/publications-opinion-files/184.pdf)

Davies, R. (2009). The Use of Social Network Analsis Tools in the Evaluation of Social Change Communications, An input into the Background Conceptual Paper: An Expanded M&E framework for social change communications. http://mande.co.uk/blog/wp-content/uploads/2009/10/The-Use-of-Social-Network-Analysis-Tools-in-the-Evaluation-of-Social-Change-Comunications-C.pdf

Davies, R. and Dart, J. (2005) *The 'Most Significant Change' Technique – A Guide to Its Use.* (www.mande.co.uk/docs/MSCGuide.pdf)

Department for Communities and Local Government (2009) *Multi-criteria analysis: a manual.* Wetherby, UK: Communities and Local Government Publications.

(https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/7612/1132618.pdf)

Department for International Development (2013) *How to note: Evaluating Influence*. London: DFID. (http://advancefamilyplanning.org/sites/default/files/resources/HTN%20on%20Evaluating%20Influence%20March%202013.pdf)

Department for International Development (2011) *How to note: Guidance on using the revised Logical Framework*. London: DFID. (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/253889/using-revised-logical-framework-external.pdf)

Domhoff, G.W. (2005) *The Shortcomings of Rival Urban Theories* (www2.ucsc.edu/whorulesamerica/power/rival_urban_theories.html [Accessed 20 February 2014]).

Earl, S., Carden, F. and Smutylo, T. (2001). *Outcome Mapping*. Ottawa: International Development Research Centre.

European Union (no date) *The Union's Humanitarian Aid: Fit for Purpose? Summary of responses to the stakeholder consultations.* Brussells, EU. (http://ec.europa.eu/echo/files/policies/consultations/Fit-for-purpose_summary_en.pdf)

Fleischer, D. and Christie, C. (2009) 'Results from a survey of US American Evaluation Association members'. *American Journal of Evaluation,* 30(2): 158–75.

Fleming, F. (2013) *Evaluation methods for assessing Value for Money*. Better Evaluation. (http://betterevaluation.org/sites/default/files/Evaluating%20methods%20for%20assessing%20VfM%20-%20Farida%20Fleming.pdf)

Funnell, S. and Rogers, P. (2011) *Purposeful program theory: Effective use of theories of change and logic models*. San Francisco, CA: Jossey Bass.

Gates Foundation. (nodate). *How we work – evaluation policy.*(www.gatesfoundation.org/How-We-Work/General-Information/Our-Approach-to-Measurement-and-Evaluation/Evaluation-Policy [Accessed 20 February 2014]).

Gladwell, M. (2000) *The Tipping Point: How Little Things Can Make a Big Difference.* London; Abacus books.

Grindle, M. and Thomas, J. (1990) 'After the decision: implementing policy reforms in developing countries'. *World Development*, 46(1): 1–35.

Guijt, I. (2010) 'Accountability and Learning'. *Capacity Development in Practice,* pp 277–91. London: EarthScan. (http://www.snvworld.org/sites/www.snvworld.org/files/publications/capaci...)

Guijt, I. (2008) 'Seeking Surprise: Rethinking monitoring for collective learning in rural resource management'. Ph.D. Wageningen; Wageningen University.

Guthrie, K., Louie, J., David, T., & Foster, C.C. (2005). *The Challenge of Assessing Policy and Advocacy Activities: Strategies for a Prospective Evaluation Approach*. Los Angeles: The California Endowment.

Hall, P. (1993) 'Policy Paradigms, Social Learning and the State: The Case of Economic Policymaking in Britain'. *Comparative Politics*, 24(3) (Apri. 1993): 275–96.

Hamza-Goodacre, D., Jefford, S. and Simister, N. (2013) *Supporting international climate negotiators: a monitoring and evaluation framework*. CDKN Working Paper. London, Overseas Development Institute. (http://cdkn.org/wp-content/uploads/2013/11/CDKN_Working_Paper-ME-_Final_WEB.pdf)

Handy, C. (1976) *Understanding Organizations*. Oxford: Oxford University Press.

Hardee, K., Ferarnil, I., Boezwinkle, J. and Clark, B. (2004) 'The Policy Circle: A framework for Analyzing the Components of Family Planning, Reproductive Health, Maternal Health and HIV/AIDS Policies'. *Policy Working Paper Series No. 11*. (www.policyproject.com/pubs/workingpapers/wps-11.pdf)

Hearn, S. (forthcoming) 'Learning while doing'. In *Rapid Outcome Mapping Approach to policy engagement.* London: RAPID, Overseas Development Institute.

Hearn, S. and Mendizabal, E. (2011) *Not everything that connects is a network*. Overseas Development Institute Background Note May 2011. London: Overseas Development Institute (www.odi.org.uk/sites/odi.org.uk/files/odi-assets/publications-opinion-files/6313.pdf)

Henry, G.T. (2002) 'Ask the Expert. What do evaluators of public communication campaigns need to do to advance their work and this field?' *The Evaluation Exchange,* A periodical on *Emerging Strategies in Evaluations*. Harvard Family Research Project Viii(3): Winter 2002. (www.hfrp.org/evaluation/the-evaluation-exchange/issue-archive/public-communications-campaigns-and-evaluation/what-do-evaluators-of-public-communication-campaigns-need-to-do-to-advance-their-work-and-this-field)

Hovland, I. (2007). *Making a difference: M&E of policy research*. ODI Working Papers 281. London; ODI. (http://www.odi.org.uk/publications/1751-making-difference-m-e-policy-research)

Howlett, M. and Ramesh, M. (1995) *Studying Public Policy: Policy Cycles and Policy Subsystems*. Toronto: Oxford University Press.

Innovation Network Inc. (undated) *Pathfinder: A Practical Guide to Advocacy Evaluation*. (www.innonet.org/client_docs/File/advocacy/pathfinder_evaluator_web.pdf [accessed 20 February 2014]).

Jones, H. (2011) *A guide to monitoring and evaluating policy influence.* Overseas Development Institute Background Note. London: Overseas Development Institute. (www.odi.org.uk/sites/odi.org.uk/files/odi-assets/publications-opinion-files/6453.pdf)

Jones, H. (forthcoming) 'The complexity of policy change: why it matters and what it means for influencing policy'. In *Rapid Outcome Mapping Approach to policy engagement.* London: RAPID, Overseas Development Institute.

Jones H., Jones, N., Shaxson L. and Walker D. (2012) *Knowledge, policy and power in international development: a practical guide.* Bristol: The Policy Press.

Keck, M. and Sikkink, K. (1998) *Activists Beyond Borders: Advocacy Networks in International Politics*. Ithaca, Cornell University Press.

Kingdon, J.W. (1995) *Agendas, alternatives and public policies (2nd ed.).* New York: Harper Collins College.

Lasswell, H. (1956) *The Decision Process: Seven Categories of Functional Analysis.* College Park: University of Maryland Press.

Leksmono, C., Young, J., Hooton, N., Muriuki, H., and Romney, D. (2006) *Informal Traders Lock Horns with the Formal Milk Industry: The role of research in pro-poor dairy policy shift in Kenya.* Overseas Development Institute working paper 266. London: Overseas Development Institute. (www.odi.org.uk/sites/odi.org.uk/files/odi-assets/publications-opinion-files/154.pdf)

Lindbloom, C.E. and Woodhouse, E.J. (1993) *The Policy Making Process*. 3rd ed. NJ: Prence Hall.

Lipski, M. (1969) *Street-Level Bureaucracy: Dilemmas of an individual in public services.* New York; Russell Sage Foundation.

Mansfield, C. (2010). *Monitoring & Evaluation of Advocacy Campaigns. Literature Review.* London; Ecumenical Advocacy Alliance. (http://www.e-alliance.ch/en/m/advocacy-capacity/resources/evaluating-advocacy-activities/)

Marsh, D. (ed) (1998) *Comparing Policy Networks*. Buckingham: Open University Press.

Maxwell, S. (2009) *Policy influence: policy entrepreneurs.* Overseas Development Institute presentation. (www.odi.org.uk/publications/5896-simon-maxwell-engineer-networker-fixer-storyteller-policy-entrpreneurship)

Mayne, J. (2008) *Contribution analysis: An approach to exploring cause and effect.* Rome; CGIAR – ILAC Policy Brief. (www.cgiar-ilac.org/files/ILAC_Brief16_Contribution_Analysis_0.pdf)

McCombs, M. and Shaw, D.L. (1972) 'The agenda-setting function of mass media'. *Public Opinion Quarterly,* 36: 176–87.

Meagher, L. (2012) *Rural economy and land use programme: societal and economic impact evaluation.* Fife: Technology Development Group.

Mendizabal, E. (2010) *The Alignment, Interests and Influence Matrix* (AIIM) guidance note. London: Overseas Development Institute. (www.odi.org.uk/sites/odi.org.uk/files/odi-assets/publications-opinion-files/6509.pdf)

Mills, C.W. (1956) *The Power Elites.* New York; Oxford University Press.

Mowles, C. (2010) 'Successful or not? Evidence, emergence, and development management'. *Development in Practice*, 20(7).

Natsios, A. (2010) 'The Clash of the Counter-bureaucracy and Development'. Washington, DC: Centre for Global Development. (http://www.cgdev.org/files/1424271_file_Natsios_Counterbureaucracy.pdf)

Organisation for Economic Co-operation and Development–DAC (2001a) *Fourth high level forum on aid effectiveness: proceedings.* Paris: OECD (www.oecd.org/dac/effectiveness/Final%20file.pdf [Accessed 20 February 2014]).

Organisation for Economic Co-operation and Development–DAC (2001b) *Evaluation Feedback for Effective Learning and Accountability*. Paris: OECD.

Overseas Development Institute. (no date). *Stakeholder Analysis*. London: Overseas Development Institute. (www.odi.org.uk/sites/odi.org.uk/files/odi-assets/publications-opinion-files/6459.pdf)

Patton, M.Q. (2008a) Advocacy Impact Evaluation. *Journal of MultiDiscplinary Evaluation*, 5(9). (www.hudson.org/files/pdf_upload/patton_advocacy_impact_evaluation.pdf)

Patton, M.Q. (2008b) *Evaluating the Complex: Getting to Maybe*. Presentation in Oslo, Norway. (aidontheedge.files.wordpress.com/2009/09/patton_oslo.ppt)

Poate, D. (2007) *Evaluation of results-based management at UNDP*. New York: Evaluation Office, UNDP.

Pollard, A. and Court, J. (2005). How civil society organisations use evidence to influence policy processes: a literature review, ODI Working Paper 249. London: Overseas Development Institute.

Preskill, H. and Caracelli, V. (1997) 'Current and developing conceptions of use: Evaluation use TIG survey results'. *Evaluation Practice*, 18(3): 209–25.

Ragin, C.C. (no date). *What is Qualitative Comparative Analysis*. University of Arizona. (http://eprints.ncrm.ac.uk/250/1/What_is_QCA.pdf)

Reisman, J., Gienapp, A., and Stachowiak, S. (2007) *A Handbook of Data Collection Tools: Companion to 'A Guide to Measuring Advocacy and Policy'*.

Robinson, L. (2009) *A Summary of Diffusion of Innovations. Enabling Change*. (www.enablingchange.com.au/Summary_Diffusion_Theory.pdf)

Roe, E. (1994) *Narrative Policy Analysis: Theory and Practice*. Durham, CT: Duke University Press.

Rogers E.M. (2003) *Diffusion of Innovations.* Free Press: New York.

Sabatier, P. and Jenkins-Smith, H. (eds) (1993) *Policy Change and Learning: An Advocacy Coalition Approach*. Boulder, USA; Westview Press.

Sabatier, P.A. (1988) 'An advocacy coalition framework of policy change and the role of policy-oriented learning therein'. *Policy Science*. 21: 129–68. (http://link.springer.com/article/10.1007%2FBF00136406#page-2)

Schelhas, J. and Cerveny, L. (2002) *Social Network Analysis for Collaboration in Natural Resource Management.* (*www.partnershipresourcecentre.org/resources/publications/social_network_analysis.php*).

Scott, N. (2012) *A pragmatic guide to monitoring and evaluating research communications using digital tools*. On Think Tanks. (http://onthinktanks.org/2012/01/06/monitoring-evaluating-research-communications-digital-tools)

Snowden, D.J. and Boone, M.E. (2007) 'A leader's Framework for Decision Making'. *Harvard Business Review,* November 2007. (http://aacu-secure.nisgroup.com/meetings/ild/documents/Symonette.MakeAssessmentWork.ALeadersFramework.pdf)

Stachowiak, S. (2013) *Pathways for Change: 10 Theories to Inform Advocacy and Policy Change efforts*. Center for Evaluation Innovation. (www.seachangecop.org/sites/default/files/documents/2013%2010%20ORS%20-%2010%20Theories%20to%20Inform%20Advocacy%20and%20Policy%20Change%20Efforts.pdf)

Start, D. and Hovland, I. (2004) *Tools for policy impact: a handbook for researchers*. London: Overseas Development Institute. (http://odi.org.uk/resources/download/156.pdf).

Stead, M., Hastings, G. and Eadie, D. (2002) 'The challenge of evaluating complex interventions: a framework for evaluating media advocacy'. *Health Education Research,* 17(3): 351–64.

Stern, E., Stame, N., Mayne, J., Forss, K., Davies, R. and Befani, B. (2012) *Broadening the range of designs and methods for Impact Evaluations*. DFID Working Paper 38. London: DFID (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/6742 7/design-method-impact-eval.pdf)

Steven, D. (2007) 'Evaluation and the New Public Diplomacy', Presentation to the Future of Public Diplomacy, 842nd Wilton Park Conference, River Path Associates.

Stone, C.N. (1989) *Regime Poltics, Governing Atlanta 1946-1988.* St. Lawrence: University Press of Kansas.

Tsui, J. (2013) 'The effectiveness of measuring influence' (GSDRC Helpdesk Research Report 911), Birmingham, UK: GSDRC, University of Birmingham. (www.gsdrc.org/docs/open/HDQ911.pdf)

Turner, C., Hoggs, M.A., Oaks, P.J., Reicher, S.D. and Wetherell, M.S. (1987) *Rediscovering the Social Group: A Self-Categorisation theory.* New York: Basil Blackwell. (www.jstor.org/stable/2781010)

Tversky, A. and Kahneman, D. (1981) 'The framing of decisions and the psychology of choice'. *Science*. New Series, 211(4481): 453–8. (http://psych.hanover.edu/classes/cognition/papers/tversky81.pdf)

Voas, R., Holder, H., and Gruenewald, P. (1997) 'The effect of drinking and driving interventions on alcohol-involved traffic crashes within a comprehensive community trial' *Addiction* 92(2): 221–36.

Vogel, I. (2012) 'Review of the use of "Theory of Change",' in *International Development*. Review Report. Published for Department for International Development, UK. (http://r4d.dfid.gov.uk/pdf/outputs/mis_spc/DFID_ToC_Review_VogelV7.pdf)

Young, E. and Quinn, L. (2012) *Making Research Evidence Matter: A Guide to Policy Advocacy in Transition Countries.* Budapest, Hungry: Open Society Foundations. (www.icpolicyadvocacy.org/sites/icpa/files/downloads/policy_advocacy_guidebook _-_making_research_evidence_matter_-_young_and_quinn_2012_0.pdf)

Watson, S. and Pierce, J. (2008) 'Monitoring policy dialogue: Lessons from a pilot study'. Department for International Development Evaluation Report WP 27. London: DFID (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/6774 8/mon-pol-dialogue.pdf).

Whelan, J. (2008) *Advocacy Evaluation: Review and Opportunities*. Innonet (www.innonet.org/resources/node/464)

White, H. (2010) *A Contribution to Current Debates in Impact Evaluation*. International Initiative for Impact Evaluation Working Paper 1. (www.3ieimpact.org/media/filer/2012/05/07/Working_Paper_1.pdf)

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

Our mission is to inspire and inform policy and practice which lead to the reduction of poverty, the alleviation of suffering and the achievement of sustainable livelihoods.

We do this by locking together high-quality applied research, practical policy advice and policy-focused dissemination and debate.

We work with partners in the public and private sectors, in both developing and developed countries.

Cover image: Community Youth air their views at Matsekope

ODI

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

Our mission is to inspire and
inform policy and practice
which lead to the reduction
of poverty, the alleviation of
suffering and the achievement
of sustainable livelihoods.

We do this by locking together
high-quality applied research,
practical policy advice and
policy-focused dissemination
and debate.

We work with partners in
the public and private sectors,
in both developing and
developed countries.

Cover image: Community youth air their
views, Nyani Quarmyne/PDA Ghana.