RAPID Outcome Mapping Approach (ROMA)

5th November, ODI

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Presentation outline

• Some lessons about policy influence

• The RAPID Outcome Mapping Approach (ROMA) to policy influence

• Group work: what can we do together?
Some Lessons

- Policy processes and social realities are complex – but avoid oversimplifying
- Research plays a minor role in policy and practice
- But it is possible for research to play a role
- Must understand external and internal landscape
- Policy and social entrepreneurs need a set of skills
- Intent is necessary!
Policy makers do not...

1. Identify the problem
2. Commission research
3. Analyse the results
4. Choose the best option
5. Establish the policy
6. Implement the policy
7. Evaluation
Policy processes are...
The gap between research and policy

Research

Policy

Bridge
No gap between research and policy

- Technocratic networks
- Universities
- Ideological think tanks
- NGOs
- Political parties
- Internal think tanks
- Regulatory bodies
- UN Think tanks
- Lobbies
- Executive
- Public think tanks
- Corporations

Crowded Map
The six lessons

Policy processes and social realities are complex—but avoid oversimplifying

Research plays a minor role in policy and practice

But it is possible for research to play a role

Must understand internal and external landscape

Policy and social entrepreneurs need a set of skills

Intent is necessary!
What is most influential for policymakers?

- Evidence
- Experience & Expertise
- Judgement
- Resources
- Values and Policy Context
- Pragmatics & Contingencies
- Lobbyists & Pressure Groups
- Habits & Tradition

Source: Phil Davies Impact to Insight Meeting, ODI, 2005
Different notions of evidence

<table>
<thead>
<tr>
<th>Researchers’ Evidence</th>
<th>Policy Makers’ Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>• ‘Scientific’ (Context free)</td>
<td>• Colloquial (Contextual)</td>
</tr>
<tr>
<td>• Proven empirically</td>
<td>• Anything that seems reasonable</td>
</tr>
<tr>
<td>• Theoretically driven</td>
<td>• Policy relevant</td>
</tr>
<tr>
<td>• As long as it takes</td>
<td>• Timely</td>
</tr>
<tr>
<td>• Caveats and qualifications</td>
<td>• Clear Message</td>
</tr>
</tbody>
</table>

Source: Phil Davies Impact to Insight Meeting, ODI, 2005
The six lessons

Policy processes and social realities are complex – but avoid oversimplifying.

Research plays a minor role in policy and practice.

But it is possible for research to play a role.

Must understand internal and external landscape.

Policy and social entrepreneurs need a set of skills.

Intent is necessary!
Health Care in Tanzania

“The results of household disease surveys informed processes of health service reform which contributed to a 43 and 46 per cent reduction in infant mortality between 2000 and 2003 in two districts in rural Tanzania.”

TEHIP Project, Tanzania: [www.idrc.ca/tehip](http://www.idrc.ca/tehip)
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Intent is necessary!
But based on a sound theory of change

Significant changes in policies and institutions only take place when all conditions come together at the same time. (Baumgarter, Jones)

Policies change when the preferences of individuals change as a consequence of the way in which proposals and options are presented and framed. (Tversky y Kahneman)

Changes in policies take place as a result of the coordinated actions of coalitions of individuals and organisations who share the same values and interests. (Sabatier, Jenkins-Smith)

Changes happen when windows of opportunity open and leaders and social entrepreneurs are able to connect two or more components of the political process: the way in which the problem is defined, the solution or the political climate that defines the issue. (Kingdon)
An analytical 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.
A practical framework

External Influences

Campaigning, Lobbying

Scientific information exchange & validation

Politics and Policymaking

Media, Advocacy, Networking

Policy analysis, & research

Research, learning & thinking

links
evidence

political context
How do think tanks work?

<table>
<thead>
<tr>
<th>Mode of work</th>
<th>Message based on</th>
<th>Ideology, values or interests</th>
<th>Applied, empirical or synthesis research</th>
<th>Theoretical or academic research</th>
</tr>
</thead>
<tbody>
<tr>
<td>Independent research</td>
<td></td>
<td>The Media, Internal think tanks, ideological centers, interest groups, NGOs, lobbies</td>
<td>Applied research centres in universities</td>
<td>“Oxbridge”</td>
</tr>
<tr>
<td>Consultancy</td>
<td></td>
<td>“Independent Think tanks”</td>
<td>Consultancies</td>
<td></td>
</tr>
<tr>
<td>Influence/advocacy</td>
<td>Political parties</td>
<td></td>
<td>Chief scientific advisors, Academic/Opinion leaders</td>
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</tbody>
</table>

What functions do think tanks play?

• Promote the adoption and implementation of policies based on research.

• But also:
  – Create and promote spaces for debate/sounding boards for policy-makers
  – Develop the capacity and train future generations of policy-makers
  – Legitimise and support narratives and policies
  – Channel funds into political parties and other partisan groups
# How do we influence?

<table>
<thead>
<tr>
<th>Type of influencing</th>
<th>Where? Through what channels?</th>
<th>How? By what means?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence and advice</td>
<td>National and international policy discourses/debates, Formal and informal meetings</td>
<td>Research and analysis, ‘good practice’, Evidence-based argument, Providing advisory support, Developing and piloting new policy approaches</td>
</tr>
<tr>
<td>Public campaigns and advocacy</td>
<td>Public and political debates in developing countries, Public meetings, speeches, presentations, Television, newspapers, radio and other media</td>
<td>Public communications and campaigns, ‘Public education’, Messaging, Advocacy</td>
</tr>
<tr>
<td>Lobbying and negotiation approaches</td>
<td>Formal meetings, Semi-formal and informal channels, Membership and participation in boards and committees</td>
<td>Face-to-face meetings and discussions, Relationships and trust, Direct incentives and diplomacy</td>
</tr>
<tr>
<td>Visibility</td>
<td>Substance</td>
<td></td>
</tr>
<tr>
<td>-----------------------------------------------</td>
<td>---------------------------------------------------------------------------</td>
<td></td>
</tr>
<tr>
<td>Short term ‘relevant’ research</td>
<td>Long term research</td>
<td></td>
</tr>
<tr>
<td>Focus on solutions for ‘agreed’ problems</td>
<td>Engage with the definition of the problem</td>
<td></td>
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<tr>
<td>Media exposure</td>
<td>Lobby, network, horse trading</td>
<td></td>
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<tr>
<td>Briefing papers, Opinion pieces</td>
<td>Estimates, costed proposals, policy options</td>
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</tr>
<tr>
<td>Website, Blogs, Facebook, etc.</td>
<td>Academic publications, long reports</td>
<td></td>
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<tr>
<td>Online communities with millions of hits</td>
<td>Communities with the right people</td>
<td></td>
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<tr>
<td>Delegations at high level global conferences</td>
<td>Private meetings at Party conferences and private meetings while planning for the high level conferences</td>
<td></td>
</tr>
<tr>
<td>Event focused influence</td>
<td>Problem focused influence</td>
<td></td>
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<tr>
<td>Global Go-To-Survey</td>
<td>Prospect magazine Think Tank of the year</td>
<td></td>
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</tbody>
</table>
What actually matters?

• According to Andrew Rich, substantive influence depends on:
  – Length of the process
  – Where decisions are made
  – Interest groups
  – Involved in the problem definition

Marketing strategies only matter in terms of positioning your experts in the right policy spaces.

The six lessons

Policy processes and social realities are complex—but avoid oversimplifying

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Must understand internal and external landscape

Policy and social entrepreneurs need a set of skills

Intent is necessary!
Policy and social entrepreneurs

<table>
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<tr>
<th>Storytellers</th>
<th>Networkers</th>
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<tr>
<td>Engineers</td>
<td>Fixers</td>
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The six lessons

- Policy processes and social realities are complex—but avoid oversimplifying
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Conclusions

To improve impact, may need to:

• focus more on policy than research
• establish different incentives / culture
• establish different systems
• spend more on communications
• engage with different actors
• produce different products
• be ready to seize unexpected policy opportunities and move very fast
Bottom line issues

• We must command high quality research for substantive influence
• We must reach policy-makers
• We must base our influence (including the process) on research
• We must be credible
• And we must be relevant to our context
But also

- ‘Research-informed/based’ implies that the audience or the person that is influenced, bases its decisions or behaviours on research.
- The type of organisation that we are affects the type of influencing approaches we choose.
- Results are not hits on our website – they are substantive changes in ‘policy’
So now what?
It’s not just blogs

Influencing approaches

More research

Develop a network or partnership

Media strategy

Academic research communications

Online communications
For example:
- RAPID Framework
- Drivers of Change
- Power Analysis
- SWOT
- Influence Mapping
- Force Field Analysis

For example:
- Policy entrepreneur questionnaire
- SWOT
- Internal performance frameworks

For example:
- Log Frame (flexible)
- Outcome Mapping
- Journals or impact logs
- Internal monitoring tools

For example:
- Progress Markers
- Opportunities and Threats timeline
- Policy Objectives
- AIIM
- Force Field Analysis

For example:
- AIIM
- Stakeholder analysis
- Influence Mapping
- Social Network Analysis
- Force Field Analysis

For example:
- Publications, public relations
- Media and events
- Negotiation and advice
- Develop a network or coalition
- Research
A slightly new ROMA

Vision / objectives

How does change happen?

Who are we?

Impact - Vision

Purpose and outcomes - Policy objectives

Approaches

Strategy

Map political context

Identify key stakeholders

Establish monitoring and learning frameworks

Identify desired behaviour changes

Analyze internal capacity to effect change

Develop a strategy
An analytical 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.

Map political context
→ Identify key stakeholders
→ Identify desired changes
→ Develop an engagement strategy
→ Analyse internal capacity to affect change
→ Establish Monitoring and learning systems
The importance of the policy cycle

Policy Formulation

Decision Making

Policy Implementation

Monitoring and Evaluation

Agenda Setting

Map political context

Identify key stakeholders

Identify desired changes

Develop an engagement strategy

Analyse internal capacity to affect change

Establish Monitoring and learning systems
Alignment, Interest and Influence Matrix (AIIM)

1. Map actors on the matrix
2. Identify which are the most influential
3. Who do you work with directly?

- High General level of alignment
- Low General level of alignment

- Low Interest in specific topic
- High Interest in specific topic

- Develop enthusiasm to address topic
- Challenge existing beliefs
- Learn in partnership
- Develop awareness and enthusiasm
- Develop an engagement strategy
- Analyse internal capacity to affect change
- Establish monitoring and learning systems
AIIM: some examples

Map political context → Identify key stakeholders → Identify desired changes → Develop an engagement strategy → Analyse internal capacity to affect change → Establish Monitoring and learning systems
Types of policy objectives

- **Discursive changes**
- **Procedural changes**
- **Content changes**
- **Attitudinal changes**
- **Behavioural changes**

Map political context → Identify key stakeholders → Identify desired changes → Develop an engagement strategy → Analyse internal capacity to affect change → Establish Monitoring and learning systems
Force Field Analysis

**Positive forces**
- Funds: 4
- CSOs: 2
- Public demand: 2

**Negative forces**
- MEF: 5
- Time: 3

**Plan:**
Minister of Trade puts forward pro-poor trade and complementary policy programme to the cabinet by April 2008

**Total influence on the force**
- Your influence: 4
- Positive forces: 8
- Negative forces: 8
- Total: 4

**Map political context**
- Identify key stakeholders
- Identify desired changes
- Develop an engagement strategy
- Analyse internal capacity to affect change
- Establish monitoring and learning systems
SWOT Analysis

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

<table>
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<th>Weaknesses</th>
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<td>Threats</td>
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Map political context → Identify key stakeholders → Identify desired changes → Develop an engagement strategy → Analyse internal capacity to affect change → Establish Monitoring and learning systems
The Three Stages

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

For example:
- RAPID Framework
- Drivers of Change
- Power Analysis
- SWOT
- Influence Mapping
- Force Field Analysis

Start by defining your policy objectives – constantly review them during the process

For example:
- Policy entrepreneur questionnaire
- SWOT
- Internal performance frameworks

For example:
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Develop a strategy

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Identify key stakeholders

Identify desired behaviour changes

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- Publications, public relations
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- Research

For example:
- Force Field Analysis
Additional materials

- Evidence based policy in development network
  www.ebpdn.org

- Think tanks and political parties in Latin America
  - http://www.idea.int/publications/thinking_politics/upload/Think-Tanks_overview_English_inlay.pdf

- ‘RAPID Knowledge’ in Journal of Public Administration and Development
  - http://works.bepress.com/cgi/viewcontent.cgi?article=1004&context=diane_stone

- M&E of research influence

- General on think tanks
  - http://onthinktanks.wordpress.com
Exercise
In groups: Short statement for

Impact – Vision

How does change happen?:

Purpose and outcomes – Policy objectives

Approaches to influence

Strategy

How can we work together?