



PROJECT CODE/NAME:

POLICY INFLUENCE PLAN

The plan outlines the context for, and approach to, policy influence to be adopted for the study. The plan includes identification of at least three key stakeholders who have the potential to influence policy on the basis of the evaluation findings. The plan outlines the nature of the planned interaction between the principal investigators and other project staff and these key stakeholders. The policy influence plan must be submitted and approved for first tranche payment to be made. We expect that your Policy Influence Plan, like any work plan, is a living document and an active strategy. People move and opportunities for engagement emerge all the time, so it would be essential that all members of the team own and update this document.

CONTEXT

*What is the political/social/cultural/economic environment that could affect both the timing and design of your evaluation and the opportunities for the findings to influence policy?
What are the context factors that make the questions of your study relevant for policy?
What external factors will affect whether and how you can shape change?*

GUIDELINES

What is the current use of evidence in policy making in the country in general, and in the sector of your study, and the concerned implementing agency, in particular. This section should consider political economy and other social or cultural factors which may affect the chance to influence policy. It could also include a knowledge gap map.

Possible resources include:

OECD Political Economy Analysis, www.oecd.org/dac/governance/politicaconomy/;
Governance and Social Development Resource Centre, <http://www.gsdrc.org/go/topic-guides/political-economy-analysis>; ODI, <http://www.odi.org.uk/programmes/politics-governance/work-political-economy-analysis.asp>

RISKS

What are the expected risks associated with the dissemination and policy influence of your evaluation?(e.g. screening of findings and recommendations to suit political purposes, high political turnover, limited freedom of press etc.)

GUIDELINES

Describe, assess the level of risks and identify mitigation strategies.

POLICY OBJECTIVES

What are your policy influence objectives? What changes (attitudinal changes, discursive commitment, procedural change, policy content or legislative change, or behavioral changes) are you targeting?

GUIDELINES

Possible resources/tools listed

Vanessa Weyrauch and Gala Diaz Langou
“Sound expectation: from impact evaluations to policy change”, 3ie working paper 12.

STAKEHOLDER ANALYSIS

Which individuals or groups must you reach to influence policy? Which are the most influential? What are their levels of influence and alignment? Who might be considered skeptical, or blockers? What is their capacity to interpret the results of impact evaluations and apply those results in their decision making? Who might be considered champions and/or gatekeepers?

GUIDELINES

There are many tools available to help choose who the best audiences might be. The most obvious audiences might not be the most strategic. Try to highlight around six key primary audiences where attention can be focused.

Think about who may influence policy, considering professional associations and trade unions, other CSOs, opposition parties, religious groups and the media, in addition to 'official' policy makers in the areas of interest.

Avoid broad categories such as the "general public" or "Policy makers" and try to highlight around six key primary audiences where more attention can be focused, even if you have a longer list. Whenever possible identify individuals or key influencers.

Possible resources/tools listed

Alignment Interest Influence Matrix (ODI, www.odi.org.uk/.../428-presentation-4-method-alignment-interest-influence-matrix.ppt)

Stakeholder analysis (World Bank, <http://www1.worldbank.org/publicsector/anticorrupt/PoliticalEconomy/PDFVersion.pdf>)

Social network analysis (ODI-FAO, http://www.foodsec.org/DL/course/shortcourseFK/en/pdf/trainerresources/PG_SNA.pdf)

KEY INFLUENCERS

Identify at least three policy influencers with the potential to influence policy in the area addressed by your evaluation and justify your selection. Policy influencers include various groups that influence policy, such as policymakers, media, civil society organizations, professional associations and trade unions, religious groups and so on. Not all contacts should be at the project level. You may add additional contacts if you wish. Please keep in mind that you are required to submit a letter of support from one (any one) of the key stakeholders you identify here with each set of deliverables you submit for payment of grant tranches.

<p>1. Name: Position: Contacts: (email/tel. number)</p> <p>Type of organization: (Government agency (central/regional/local); Civil Society Organisations; International organization; Research organization/Think tanks; Development agencies; Media and others)</p>	<p>Name of organization:</p> <p>Website:</p>
<p>Relevance/Level of influence: Why is his/her participation important? What role do they play in the policy making process? How much influence/leverage are they expected to have? What is their perceived interest in the evaluation process? Are they part of a particular network (e.g. policy network, policy committees/advisory boards, research community, etc.)?</p>	
<p>Have your organization had previous experiences with this stakeholder. If so, please describe.</p>	
<p>2. Name: Position: Contacts: (email/tel. number)</p> <p>Type of organization: (Government agency (central/regional/local); Civil Society Organisations; International organization; Research organization/Think tanks; Development agencies; Media and others)</p>	<p>Name of organization:</p> <p>Website:</p>
<p>Relevance/Level of influence: Why is his/her participation important? What role do they play in the policy making process? How much influence/leverage are they expected to have? What is their perceived interest in the evaluation process? Are they part of a particular network (e.g. policy network, policy committees/advisory boards, research community, etc.)?</p>	
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<p>3. Name: Position: Contacts: (email/tel. number)</p> <p>Type of organization: (Government agency (central/regional/local); Civil Society Organisations; International organization; Research organization/Think tanks; Development agencies; Media and others)</p>	<p>Name of organization:</p> <p>Website:</p>
<p>Relevance/Level of influence: Why is his/her participation important? What role do they play in the policy making process? How much influence/leverage are they expected to have? What is their perceived interest in the evaluation process? Are they part of a particular network (e.g. policy network, policy committees/advisory boards, research community, etc.)?</p>	
<p>Have your organization had previous experiences with this stakeholder. If so, please describe.</p>	

THEORY OF CHANGE

Map out the pathway of change/change framework of to influence policy in your project

GUIDELINES

Theory of change community of practice:
<http://www.theoryofchange.org/>

STAKEHOLDER ENGAGEMENT PLAN

Please provide a detailed plan for engaging relevant stakeholders throughout the evaluation process. The Plan should clearly identify the roles of each stakeholder in policymaking or influencing, action plan for specific activities, as well as expected results and long-term outcomes.

Timeline/ Key milestones	Objectives and dimension of the engagement	Channels and Frequency	Stakeholders	Focal Point	Monitoring/ Learning and influencing Indicators
<p><i>*Specify estimated dates or approximate timelines within each evaluation stages.</i></p> <p>This is important as 3ie would be interested in potentially documenting, promoting and participating in those events and activities</p>	<p><i>*Highlight the kind of engagements and policy influence objectives (Awareness raising/Knowledge sharing/Policy influencing)</i></p> <p><i>What are the specific drivers? What are the expected benefits?</i></p>	<p><i>*Specify the channels used:</i></p> <ul style="list-style-type: none"> - Meeting - Design workshop - Training workshop - Dissemination workshop - Partnership with key intermediaries/allies - Participation / contribution to discussion (online forums/ working groups) - Media interviews/briefings/opinion pieces - Focus group/town hall meeting - Presentation at national and international conferences - Providing study outputs such as briefing notes and videos <p><i>And frequency? (monthly/quarterly/annually...)</i></p>	<p><i>* This should include but not be limited to the six stakeholders identified</i></p>	<p><i>*Name the person or people in the team responsible to carry out this engagement</i></p>	<p><i>*Identify some key indicators and measuring tools (see guidelines for section on evaluation below)</i></p>
Study design					
Implementation					
Preliminary findings		<p><i>Identify sectoral events where preliminary events could be presented</i></p>			

Dissemination					
Adoption of recommendations					

BUDGET

How much time, financial and human resources are expected to be allocated for the implementation of the engagement plan?

GUIDELINES

The requested budget information is meant to be a program budget (i.e. specific allocations) from within the existing grant budget, not an additional budget. No additional funds will be awarded unless the team submits a formal request for variation. As with any request for variation, the request would be subject to careful review and may or may not be granted based on the justification and the availability of funds.

The main budget items to consider are: staff time; travel costs for presentations/dissemination events; media outreach, publication, translation and dissemination costs. We encourage you to think medium to long-term for your engagement plan.

EVALUATION AND LEARNING

Given your policy influence objectives, key policy stakeholders identified and stakeholder engagement plan, what would be your key indicators to measure the success of your policy influence activities? What systematic approach/framework you will take to test your theory of change of policy influence?

GUIDELINES

Note 3ie requires that you submit information on the number of people reached by different dissemination activities, and documentation of adoption of study recommendations.

The team should identify: Level 1. Research dissemination (e.g. publishing, media coverage, web downloads, knowledge sharing/dissemination events, # of people reached, # of high level policy makers engaged etc)

Level 2- Research communication or evidence that people are not just downloading the study but that the study is catalysing a debate (e.g citation indices, people reporting they have been influenced by the study, feedback ratings etc.)

Level 3- Research uptake or evidence of practical use (e.g. adopted legislation, behavioural changes in practices on the ground etc).

Level 4 - Research Impact or practical evidence of use of research, change in behaviour of policy. This will be difficult to attribute and track in the lifetime of the project

Possible resources listed below

ODI Background note "A guide to monitoring and evaluating policy influence"
<http://www.odi.org.uk/resources/download/5252.pdf>

Presentation by John Young on "Monitoring and evaluation of influence"
<http://www.impactevaluation2011.org/forum/wp-content/uploads/2011/06/C2-Effective-communication-and-stakeholder-engagement-file-2.pdf>

Most Significant Change <http://www.mande.co.uk/docs/MSCGuide.pdf>

Annex 2

POLICY INFLUENCE REPORT

Activities and interactions related to the policy impact plan during the reporting period: *List the # of stakeholder engagement meetings and activities. Highlight some of the main outcomes or discussion points emerging from the meetings and activities listed, and include participants list (with name of organizations and position) for major dissemination workshops or event in annex.*

Intermediate outcome indicators: *Include specific intermediate outcome indicators such as: # of media clippings, # of citations, web metrics data, # of knowledge sharing/dissemination events, # of people reached, # of high level policy makers engaged, feedback ratings.*

Impact measurement tools and indicators: *Indicate the measurement tools and indicators identified to report on policy influencing.*

Case studies/Stories/Testimonials: *The stories will be used by the 3ie communication team to write some projects in focus features which will be posted on the 3ie website and in the newsletter. Please include any support documents (email, minutes of meetings, article, blog, reports, photos....) relating to the case studies, stories, and feedback mentioned in the report. Those could be included as a separate attachment or annex.*

Feedback and quotes from stakeholders:

Challenges in policy-stakeholder engagement: *Identify the challenges faced with stakeholder engagement and dissemination, and draw lessons learned and mitigations strategies from those which will help you plan the next activities.*

Any changes to planned interactions for the next reporting period (compared to those submitted in Policy Influence Plan)