



PIP OW1-66

Study Title : **Paying for Performance in China's Battle Against Anemia**
International Initiative for Impact Evaluation

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 six 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-stakeholder engagement plan must be submitted for first tranche payment.

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?

The environment in China today is mostly positive – especially with regards to the project that we plan to evaluate: the impact of vitamin supplements on anemia and educational performance in schools.

First, there are government fiscal resources available for social policy promotion and problem solving. Second, most officials – national, regional and local – are professionals. They have degrees (top level officials often have graduate degrees) in education and/or specialty fields. Third, officials that do innovative programs that work are more apt to be considered for promotion. Therefore, there is an alignment between our evaluations—i.e. showing whether a new program works—and the demands for such information (for personal gains of officials and for the ability to carry out effective policy for those that want to better execute their job).

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.

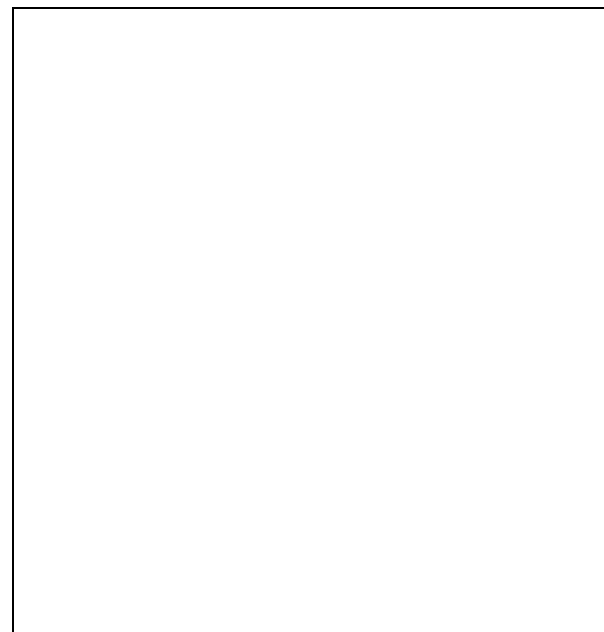
Possible resources include:

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>

These demands, though, mean that there is a need to carry out evaluations that can yield feedback as soon as possible. One year is a long time for officials. It is hard to interest them in an evaluation in which the results can not be seen for three or more years.

Therefore, it is imperative to make sure there are intermediate evaluations. This is why we plan to do a baseline, an intermediate evaluation and a final evaluation.

The nature of China's education policy also means that policy work has to address both national, regional and local policy maker needs. If a local official wants to innovate, he often needs (or would like) the "cover" of a statement or broad initiative of a national policy maker. Therefore, we find it is important to get upper level officials to condone a policy direction (e.g., support nutrition programs inside schools) and then allow local officials to experiment and evaluate these programs.



RISKS

Are there any 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..)

(In the context of the political environment discussed above) In some cases, officials are afraid of being associated with projects that fail. They often believe that just as a positive project can promote their career, a bad one can hurt it. They also are afraid of something going wrong (e.g., a shipment of eggs causing a salmonella outbreak).

For this reason we will establish "advisory committees" for relevant officials. The purpose of these committees is to provide a means for officials to observe and be involved in the

GUIDELINES

Describe, assess the level of risks and identify mitigation strategies

project but not be directly associated with our implementation team. If the project fails (e.g., zero outcome), we will take responsibility. We will write it up. We will disseminate. News of no effect, after all, is just as important to share as news of an effect. On the other hand, if the intervention succeeds, we will encourage leaders or officials to adopt the findings as “their own,” and promote the results for us.

In the case of the anemia project, press censorship is not a problem. However, in other projects, such as ones that address drop out rates (which many principals claim is zero but is obviously not) censorship becomes an issue.

Since censorship is not an issue with the anemia project, though, we will not have to worry about it.

STAKEHOLDER ANALYSIS

Which individuals or groups must you reach to influence policy? Which are the most influential?

One of the main strengths of the REAP team is our ability to send evidence-based policy briefs directly to the desk of the China’s premier and his staff. This is done through the so-called “Policy Office” of the Chinese Academy of Sciences. If upper level officials “approve” of a policy recommendation sent through this channel, they frequently direct the relevant agencies (e.g., Ministry of Education or MoE) to take action. In response to our policy brief on anemia in schools and its impact on educational performance the national government, directed MoE to make nutrition part of the rural education policy agenda and allocated 200 million RMB for the first year to support poor provinces in their nutrition program start ups. The amount will likely rise greatly in the 12th Five Year Plan (2011-2015).

Provincial officials are also important. Often they are the ones that design and implement programs tailored to the conditions of their province. In response to our policy brief, provincial officials in Shaanxi launched an “egg and milk” program (i.e.: providing each student in elementary and jr. hi with an egg and serving of milk per school day). Since this does not address anemia per se, we suggested that the province run an “Is One Egg Enough?” project. The project allowed for students in a set of randomly selected schools to receive one vitamin per day (in addition to the government’s egg and milk) while those in the control would only get the eggs and milk. Continuing the dialogue in this way is crucial



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

to make sure national policy gets translated into policies that are implementable on the ground and that address the right problem.

It is less important to influence officials at the local (county/village) level. They typically will do what they are told. It is important to influence the media, academia, and the donor/ngo community due to their role in raising awareness among the public and officials at large. The more the public and/or officials are aware of the lessons of an intervention, the more likely they will accept interventions like taking a vitamin per day (which is not a normal occurrence in China).



Possible resources include

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

KEY INFLUENCERS

Identify at least six key stakeholders or “Champions” with the potential to influence policy in the area addressed by your evaluation and justify your selection

<p>1. Name: Wen Jiabao Position: Premier Contacts: (email/tel. number): through Government Policy Office of the Chinese Academy of Sciences</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>National Governing Body</p>	<p>Name of organization: State Council of China</p> <p>Website: http://www.gov.cn/english/</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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Have your organization had previous experiences with this stakeholder. If so, please describe.

Yes: we have sent more than 30 policy briefs that have been "approved" by the State Council since 2000 (when our group moved to Chinese Academy of Sciences). In recent years, we have had policy briefs approved for Nutrition and Education; the provision of High School Financial Aid; the provision of Early Childhood Education; etc.

2. Name: Li Keqiang
Position: Vice Premier in charge of Education and Health
Contacts: (email/tel. number) through Chinese Academy of Sciences' National Government Policy Office

Name of organization: State Council of China

Website: <http://www.gov.cn/english/>

Type of organization: (Government agency (central/regional/local); Civil Society Organisations; International organization; Research organization/Think tanks; Development agencies; Media and others)

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.)?

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Note: Li Keqiang likely will be Premier (or another high ranking position) in the new government (2 years from now)

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3. Name: Zheng Mengxiong
Position: head of the Provincial Policy Research Section
Contacts: (email/tel. number): ncczhmx@sina.com / 029--85581545;
13709201660

Name of organization: Provincial Policy Research Section of the Provincial Government

Website: <http://english.shaanxi.gov.cn/>

Type of organization: (Government agency (central/regional/local); Civil Society Organisations; International organization; Research organization/Think tanks; Development agencies; Media and others): government

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.)?

This is the main policy research group in the province of Shaanxi (a province of 66 million people). This policy group advises the government in their policy design and evaluation. It is essential to have them as collaborators since they are able to insist that government agencies (e.g., the department of education in the province) cooperate with our evaluations.

Have your organization had previous experiences with this stakeholder. If so, please describe.

Yes: The person in this position has been the head of our implementation partner organization in Shaanxi, the Northwest University of Xi’an, for the past 5 years. We have semi-annual policy meetings with him. We turn to him for advice frequently. We provide him with a lot of information that helps him carry out his job better. It is a mutually supporting relationship.

<p>4. Name: Jiang Jun Position: Deputy Magistrate in charge of Education Contacts: (email/tel. number): jiangjun1299@163.com / 0915--6826516; 13700251299</p> <p>Type of organization: (Government agency (central/regional/local); Civil Society Organisations; International organization; Research organization/Think tanks; Development agencies; Media and others): government</p>	<p>Name of organization: Count Government, Ningshan County; Shaanxi Province</p> <p>Website: http://www.ningshan.gov.cn/</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>Jiang Jun is the head of our Ningshan County Experimental Working Group. We run pilots in this county. Mr. Jiang is always looking for innovative projects. Our ideas are often tested here. His staff interacts with us and provides input for our new proposals and for policy briefs on completed projects (they provide “the government perspective.”).</p>	
<p>Have your organization had previous experiences with this stakeholder. If so, please describe.</p> <p>We have done four projects / experimental / pilots in Ningshan with Jiang Jun since 2009. This project is number 5.</p>	
<p>5. Name: Ke Jin Position: Reporter Contacts: (email/tel. number): cjrbke@sina.com / 13466640070</p> <p>Type of organization: (Government agency (central/regional/local); Civil Society Organisations; International organization; Research organization/Think tanks; Development agencies; Media and others): Government-run newspaper (all newspapers are)</p>	<p>Name of organization: China Educational Daily Newspaper</p> <p>Website: http://www.chinaedunews.com.cn/jyb_eng.htm</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>Ke Jing is an investigative reporter/ free lancer that has a reputation for doing in-depth, high quality work on China's rural education. He is committed to</p>	

writing one article every two months on REAP's work. We will be taking him on our pre survey planning trip and introducing him to our plan for the amenia project. The newspaper he works for is read by all educational officials across China at every level.

Have your organization had previous experiences with this stakeholder. If so, please describe.

He has written articles on REAP's work for the past two years. He has published five articles that feature REAP. When we are in the field we often pass out copies of his articles. They give us stature and credibility.

6. Name: Wong Rong

Position: Director

Contacts: (email/tel. number): r wang@ciefr.pku.edu.cn

Type of organization: (Government agency (central/regional/local); Civil Society Organisations; International organization; Research organization/Think tanks; Development agencies; Media and others): Ministry of Finance-supported research think tank that is located on the Peking University Campus.

Name of organization: China Institute for Educational Finance Research

Website: <http://ciefr.pku.edu.cn/html/2006-08/654.html>

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.)?

Dr. Wong has a lot of influence in the Ministry of Finance. We always provide "cost effectiveness" analyses of our projects to her. The MoF will often hold workshops on effective policymaking and provide a forum to talk about our findings and projects with officials from other ministries (since everyone must listen to the MoF).

Have your organization had previous experiences with this stakeholder. If so, please describe.

CIEFR has been a REAP core collaborator since 2008.

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 the estimated dates within each evaluation stages</i></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>
<p>Study design</p>	<p><i>Awareness / engagement (make them take a stake in project ... or at least follow from a close point of observation</i></p>	<p><i>Preimplementation workshops in selected schools Preimplementation workshops in office of local officials One on one meetings</i></p>	<p><i>Local officials / principals / teachers</i></p>	<p><i>Shi Yaojiang (REAP field work director)</i></p>	<p><i>Attendance at meeting / willingness to continue to participate /</i></p>
<p>Implementation</p>	<p><i>Awareness /</i></p>	<p><i>Media coverage / field visits /</i></p>	<p><i>Journalist</i></p>	<p><i>Shi Yaojiang (REAP</i></p>	<p><i>Ditto</i></p>

	<i>engagement</i>		<i>Local officials</i>	<i>field work director)</i>	
Preliminary findings	<i>Pass on knowledge / awareness</i>	<i>Workshop Pre-policy briefs</i>	<i>Provincial officials Local officials Selected principals / teachers / parents / students</i>	<i>Shi Yaojiang (REAP field work director)</i>	<i>Willingness to schedule follow up meeting / willingness to be part of follow up proposal</i>
Dissemination	<i>Pass on knowledge / persuade to upscale (or not) / persuade to move to larger pilot</i>	<i>Formal policy brief Formal workshop / conference REAP brief Papers and presentations</i>	<i>CIEFR director Provincial officials Ministry of Education State Council</i>	<i>Linxiu Zhang (REAP director)</i>	<i>Response to policy brief ... See below</i>
Adoption of recommendations	<i>Depends on others</i>				

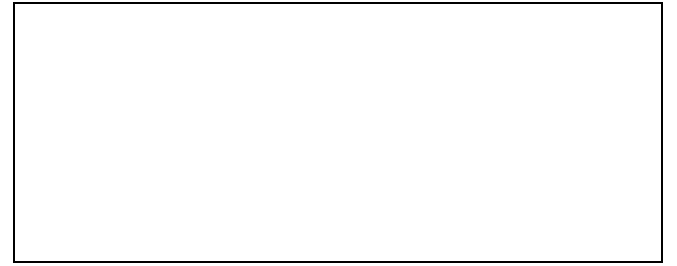
BUDGET

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

staff time	1 full time (for all projects) / divide by 5 projects	10K
travel costs for presentations/ dissemination events	5 trips from field sites to Beijing (5 x 1000)	5K
editing	REAP Brief / papers	3K
design	REAP Brief / video	5K
production	REAP Brief / website	5K
translation and	All documents (10 times 500)	5K
dissemination costs.....	Printing and dissemination	10K
other	Advisory fees and meeting expenses	included
total:		43K

GUIDELINES

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



EVALUATION AND LEARNING

How will you measure the influence of your evaluation?

China has a system of giving immediate feedback to scholars and policy analysts after the submission of policy briefs ... The State Council and provincial government authorities will provide written feedback, including what was done with the brief (“returned without interest” / “noted” / “put on reading list” / “discussed and contents noted” / “sent to ministries and others for further policy discussion and feedback” / “sent to ministries and others for action” / “immediately adopted into policy” ...

We will also follow the upscaling of the activities. Our plan is to have the provincial government begin to provide vitamins with the egg and milk project. Our ultimate influence will be the number of counties in which vitamins are given and the number of students in each county.

If we can convince them (negotiations in progress) to upscale in a phased roll-out format, we can compare school year-end standardized test rankings.

Possible resources include

Intelligent Measurement <http://intelligentmeasurement.wordpress.com/category/campaign-evaluation/>; Communications Consortium Media Center (CCMC) guidelines for evaluating non-profit communications efforts <http://www.buildinitiative.org/files/evaluatingcommunications.pdf>; Outcome Mapping http://www.outcomemapping.ca/download.php?file=/resource/files/admin_en_OMLC_Brochure.pdf; Most Significant Change <http://www.mande.co.uk/docs/MSCGuide.pdf>

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:

- Specific intermediate outcome indicators such as: Nb. of media clippings, nb. of citations, web metrics data, nb. of knowledge sharing/dissemination events, nb. of people reached, nb. of high level policy makers engaged, feedback ratings...

-Final outcome and impact indicators such as: policy/programme design demonstrably changed as a result of the evaluation finding; legislation has been adopted; funding has been increased or cut; nb of policy makers and practitioners reporting having been influenced by the study..

-Qualitative data such as: feedback/quotes, stories, quotes

Possible resources listed below