



# Strengthening World Vision Policy Advocacy

A guide to developing advocacy strategies

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# 1 About this guide

This 'how to guide' has been specifically developed by the RAPID programme at the Overseas Development Institute (ODI) for use by the staff in World Vision's National Offices. It is intended as a reference guide for World Vision staff who want to develop an advocacy plan, and complements the training workshops delivered by the RAPID programme for staff from the Zambia and Uganda World Vision offices during 2010. We are publishing it now in the hope that other organisations might also find it useful for their context.

It is not intended as a do-it-yourself manual or as a rigorous process that has to be followed step by step. Application of the approach described in this guide will vary depending on context, which is why the process should be facilitated rather than taught. In some cases, users will be able to recognise how their existing practices fit with the general approach presented, and perhaps use this approach to identify areas that could be strengthened. In other cases, staff may find value in applying some of the specific tools introduced here, and the guidelines will support this. Ultimately it is up to users of this guide to select the tools and advice that best suits their needs and context.

The key message highlighted in this guide is that promoting change in policy, practice and power relations requires a systematic and critical approach to planning and monitoring advocacy. While it is recognised that there are many systematic approaches for this purpose (including those developed by World Vision), which are perfectly sufficient, this guide presents the RAPID Outcome Mapping Approach (ROMA), developed by ODI/RAPID. This guide also draws content from a similar (unpublished) guide developed by Simon Hearn in the RAPID programme for the Accountability in Tanzania project (Hearn, 2010).

The next chapter introduces the rationale behind ROMA, exploring key lessons from RAPID's work on shaping policy change in developing countries. Part 3 gives an introduction and overview of ROMA, how it emerged, some of its benefits as a framework and an outline of its seven steps. Finally, Part 4 details each of these steps in the process including suggested tools and worked examples.

## 2 Lessons from policy engagement

Taking a systematic approach, as presented here, can affect individuals and organisations in very different ways. In many cases the changes required in adopting such an approach are minor and merely require a shift in thinking. But being systematic can highlight areas that require change such as organisational processes, systems, personnel, capacities and practices. It is therefore important to understand why a systematic approach to influencing change is being advocated here.

Since 2004, the Research and Policy in Development (RAPID) programme at ODI has been studying and supporting the role that civil society can play in evidence-based, policy-influencing. Five years of research and advisory work has resulted in the development of six overarching lessons:<sup>1</sup>

**Policy processes are complex and rarely linear or logical.** Simply presenting information to policy-makers and expecting them to act upon it is unlikely to work. While many policy processes do involve sequential stages – from agenda setting through to decision-making, and implementation and evaluation – some stages take longer than others, and several may occur more or less simultaneously. Many actors are involved: ministers, parliament, civil servants, the private sector, civil society, the media, and in the development sector, also donors – all of them trying to influence the process, and each other. Recognising this complexity is essential for anyone attempting to engage with policy.

**Many policy processes are only weakly informed by research-based evidence.** Policy-makers face difficulties when using research-based evidence because of the 'Five Ss':<sup>2</sup> speed – they have to make decisions fast; superficiality – they cover a wide brief; spin – they have to stick to a decision (at least for a reasonable period of time); secrecy – many policy discussions are held in secret; and finally, scientific ignorance – few policy-makers are scientists, and they may not fully appreciate the scientific concept of testing a hypothesis.

**Research-based evidence can contribute to policies that have a dramatic impact on lives.** For example, household disease surveys undertaken by the Tanzania Essential Health Interventions Project (TEHIP) informed processes of health service reform that contributed to reductions in infant mortality between 43% and 46% in two districts in rural Tanzania between 2000 and 2003.

**Policy entrepreneurs need a holistic understanding of the context in which they are working.** While there are an infinite number of factors that affect how one does or does not influence policy, it is relatively easy to obtain enough information to make informed decisions on how to maximise the impact of research on policy and practice using ODI's RAPID framework (see ROMA step 3).

**Policy entrepreneurs need additional skills to influence policy.** They need to be able to understand the politics and identify the key players; to be good storytellers, able to synthesise simple compelling stories from the results of the research; good networkers to work effectively with all the other stakeholders; and they need to be good engineers, building a programme that pulls all of this together. Otherwise, they need to work in multidisciplinary teams with others who have these skills.

**Policy entrepreneurs need clear intent.** They need to really want to do it. Our research shows that champions who stick with a process over an extended period of

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1 These are taken from Young and Mendizabal, 2009.

2 Cable, V. (2003) "The Political Context", Does Evidence Matter Meeting Series, May 2003. London: ODI.

time, through successes and setbacks, are drivers of change. Effective influencing may mean changes in ways of working and even the incentive structure of organisations. (This draws from Young and Mendizabal, 2009).

## 3 About the RAPID Outcome Mapping Approach (ROMA)

### How ROMA emerged

ROMA is the result of almost a decade of experience working on how research-based evidence can inform policy processes, by the RAPID team.<sup>3</sup> It draws on concepts of complexity, on outcome mapping tools developed by the International Development Research Centre (IDRC), and tools for policy engagement assembled and developed by RAPID, which have been field tested in many workshops and training courses worldwide. Specifically it has emerged from work, which includes:

- The compilation of over 50 case studies on successful evidence-based policy engagement.
- The development and facilitation of the Evidence-based Policy in Development Network (ebpdn), which links more than 20 institutional partners and thousands of practitioners working on evidence-based policy processes.
- The production of an array of practical toolkits designed with CSOs, researchers and progressive policy-makers in mind.
- Direct support to civil society organisations (CSOs) to provide training in policy influencing and strategic communication.
- The strengthening of the UK Department for International Development (DFID)'s capacity to influence other actors such as other donors, multilateral agencies and partner governments.

### Overview

ROMA is a series of steps designed to help those wishing to influence policy and practice to take a systematic approach. It starts from the assumption that political environments and social realities are extremely complex (see lessons in part 2), and therefore a simple, linear engagement strategy is not viable and an iterative, adaptive approach is required. ROMA comprises seven steps, as illustrated in figure 1 (see page 5). It is designed so that each step systematically provides World Vision staff with more information about the context that they are working in so that they might be able to make better strategic choices and be better placed to take advantage of any unexpected policy windows and opportunities for change, though not all steps might be needed in all situations. Those experienced in advocacy may already subconsciously follow the process, or want to skip steps where they are already familiar with the context.

### Key benefits of ROMA

The ROMA process allows for systematic information gathering about the environment surrounding an influencing objective. By completing the process as a team, it allows tacit knowledge to be made explicit. The process is flexible and scalable: it can focus on narrow influencing objectives and stakeholders or it can be used for overarching programme strategies. It also recognises that not all steps may be necessary to develop an engagement strategy. By suggesting an array of specific tools for each step, policy entrepreneurs can use the most appropriate one for their context. The ROMA steps emphasise the need for establishing monitoring and learning systems that keep track of changes in the internal and external environments. These systems can provide important accountability to donors and justification for changing/adapting strategies.

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<sup>3</sup> In particular Enrique Mendizabal, Ben Ramalingam and John Young.

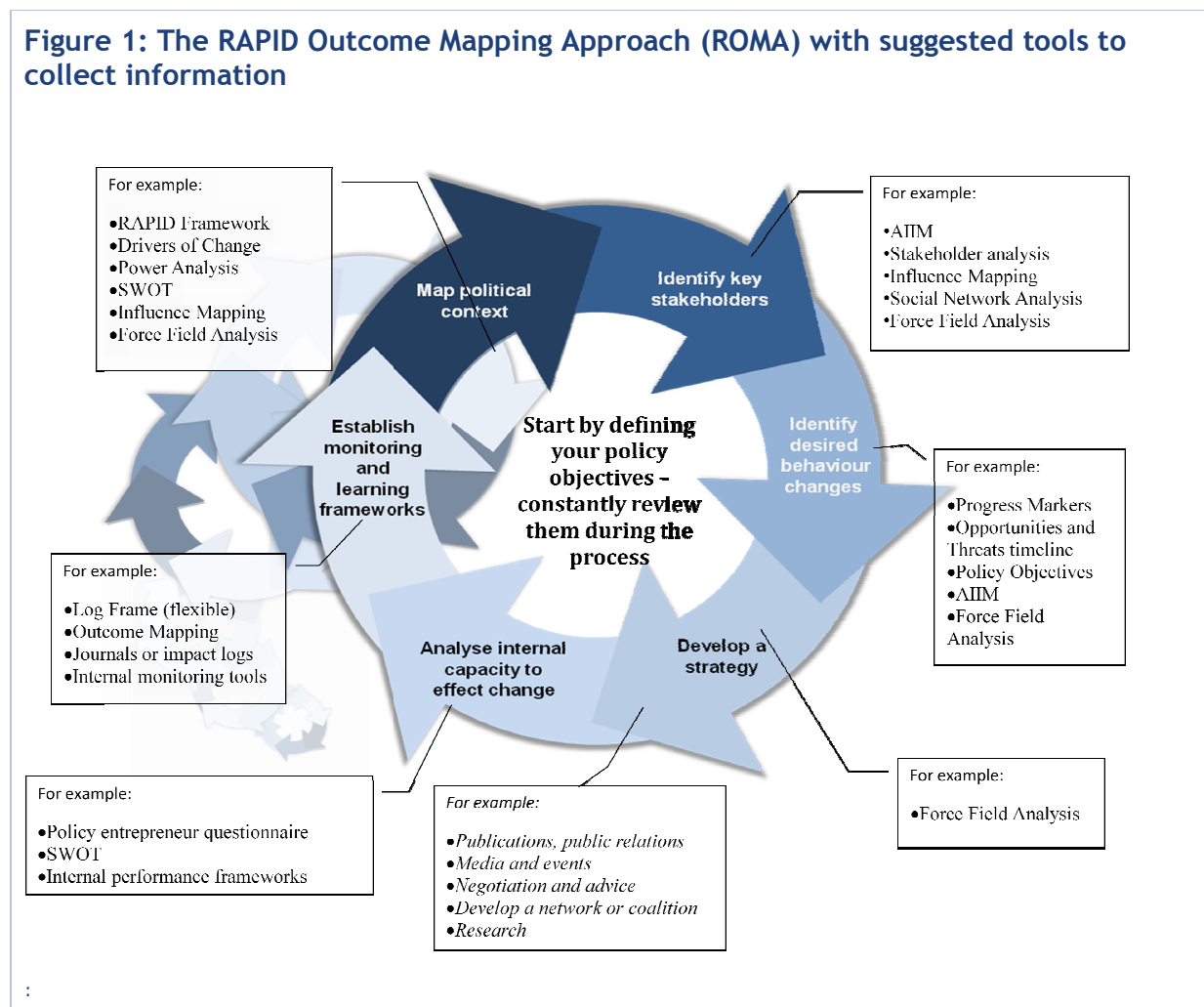


## Brief outline of ROMA

The seven steps which make up ROMA are as follows:

- 1 Clarify and agree the influencing objective, either in terms of policy, power or practice.
- 2 Understand and map the policy context: Identify key formal and informal, as well as internal and external, policy spaces and opportunities for engagement.
- 3 Identify key policy actors: map and prioritise the key organisations, groups of organisations, departments or individuals.
- 4 Identify specific changes - both ideal and intermediary: establish 'progress markers' that break down the main steps to move actors from their current position to the desired one.
- 5 Establish entry points and form a strategy.
- 6 Analyse internal capacity to affect change: map out team competencies, skills and the gaps.
- 7 Establish a regular monitoring process to track progress, share information and promote learning within the team.

**Figure 1: The RAPID Outcome Mapping Approach (ROMA) with suggested tools to collect information**



## 4 The ROMA steps

The step-by-step guide outlined below provides a systematic approach to planning influencing activities. The seven steps are designed to provide progressively more detailed information – the level of detail should be relative to the complexity of the policy advocacy and also the team’s existing understanding of the context.

The steps below are not designed as a prescribed process for World Vision staff to work through, but as an outline of a thought process that he or she can work through together with colleagues in discussion. World Vision staff can call upon the tools as and when they are needed in the discussion in order to add clarity, record information that is shared or to probe the team into thinking deeper about a particular element of the strategy.

An information matrix template is provided in appendix 1 to document information emerging from the planning process. This is an optional tool and can be used to record the information that is collected at each stage. It is useful for communicating intent, for monitoring progress and for capturing tacit knowledge. **The following tips** can help make the process more efficient and ensure a useful matrix is developed:

**1 Consider all of the steps.** Depending on how much is already known, it may not be necessary to complete all the steps – however, the more complex the advocacy objective or context, the more likely that all the steps will be required.

**2 Review previous steps where necessary.** Filling in the matrix is not necessarily a linear process – a step might generate new information which requires additional work on a previous step. Or, you may find that you have to move on the next step before you have a complete understanding of the current one.

**3 Complete all the columns in the matrix.** Even where all the steps are not completed, it is important to complete the matrix as far as possible.

**4 Note any information that is missing in the matrix.** It may only be possible to complete the matrix during the course of the advocacy, particularly if the organisation is a new actor to a process, or the process is particularly complex.

**5 Consider proportionality.** The extent of analysis and planning should always be proportionate to the desired result (policy objective) and the novelty of the situation. Teams should decide what level of information they require and therefore what steps they will complete.

## 4.1 STEP 1: DEFINE YOUR OBJECTIVE(S)

The first step in the planning process is defining and agreeing your policy objectives; that is the results you are aiming for expressed as a vision of the future. It is common for programmes or organisations to focus on one to three objectives, any more than this and there is a risk of over extending yourself. Each objective should be handled separately in the following steps. This step is extremely important in clarifying the intent and testing your understanding of the problem.

When forming your objective, you should consider what type of change you want to see. Changes in policy, practice and power relations can be expressed as one of five types of change:

- **Discursive change:** changes in the words, narrative and concepts used  
Example: A Minister of Finance starts placing emphasis on inequality in his speeches.
- **Procedural change:** changes in the way things are done  
Example: Government policies are made through broad-based consultations with all stakeholders.
- **Attitudinal change:** changes in attitudes towards other actors or their values and causes  
Example: Government treats CSOs as partners and works in collaboration rather than in competition on delivery of services.
- **Content change:** actual changes in the strategy or policy documents or budgets  
Example: Legislation enacted to make details of government procurement freely available.
- **Behavioural change:** permanent changes in the way individuals or organisations act or behave  
Example: Financial information of service delivery agents of government is made available to general public.

If your objective is very broad or requires many different types of change, you should consider breaking it down into three or four smaller objectives.

To build an objective that is evidence informed, you will need to draw on research and other forms of data which World Vision have generated from its field work.

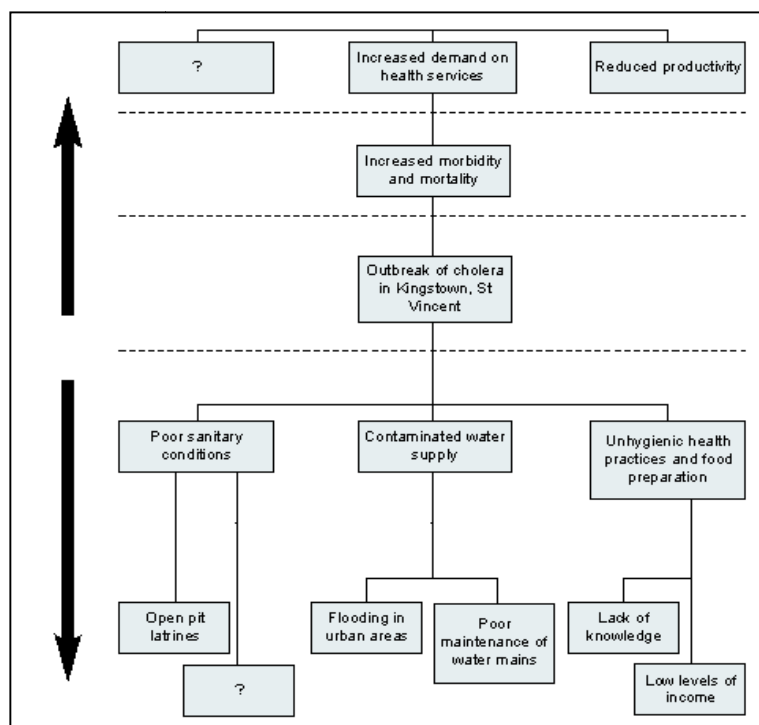
Once you have the data, you can draw on a number of tools to guide your thinking and formulate an objective. One such tool is problem tree analysis which enables a core problem to be agreed upon, and key causes and effects to be identified through discussion and dialogue (see figure 2 below).<sup>4</sup> Box 1 provides an example where Louise Shaxson's 'lines of argument' was used to guide objective formulation.<sup>5</sup>

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4 See <http://www.odi.org.uk/resources/details.asp?id=5258&title=problem-tree-analysis> for more information on problem tree analysis.

5 See Shaxson, 2005.

Figure 2: Example of a problem tree



### Box 1: Worked Example: developing a policy objective

With child health identified as a priority area, the WVZ team visited two communities where they worked and facilitated a number of focus group discussions using a list of 34 questions they had prepared under four headings (child health, awareness, access and coverage). A short summary was written up summarising the various discussions that were had. The following issues were noted:

- Long distance from health centre
- Very few qualified health personnel
- Low level of understanding of PPTCT (prevention of parent to child transmission)
- Immunisation: it prevent diseases – e.g. measles, polio, chicken pox that lead to child mortality thereby keeping children healthy
- Strengthening health care system at community level: this will require training community based health care workers and establishing a referral system with rural health care centres and DMO
- Nutrition: government should formulate deliberate policies that will encourage the integration of nutrition in health service provision

Through discussion, participants agreed that a 'high prevalence of childhood diseases' was the most important issue that the team should address. Then drawing on Louise Shaxson's 'Lines of Argument' (rather than the problem tree approach), the team were asked to answer the following questions for the issue outlined above: 1) Why is this issue important 2) Who is it a problem for? 3) How are government, donors and civil society responding to the issues? 4) What needs to change and how?

5) What evidence do we have and need to collect to inform policy development on this issue?

Several recommendations were made including:

- improving the citizen voice and (downward) accountability mechanism at local level for better delivery of health care (e.g. between local government and health care centres and between health care centres and the community)
- increase government grants to health care centres
- improve salaries, housing allowances, and transport provision for healthcare workers

A key criterion to prioritise recommendations was whether the issue needed to be taken forward at a national level. After further discussion the team decided to work on 'improving accountability mechanisms at the local (district) level and promoting better and more participation in the delivery of local health care services'.

### Other tools and information

Scenario testing and collective visioning

<http://www.odi.org.uk/resources/details.asp?id=5213&title=scenario-planning-learning-visioning>

SDC's guide to using story and narrative tools in development co-operation

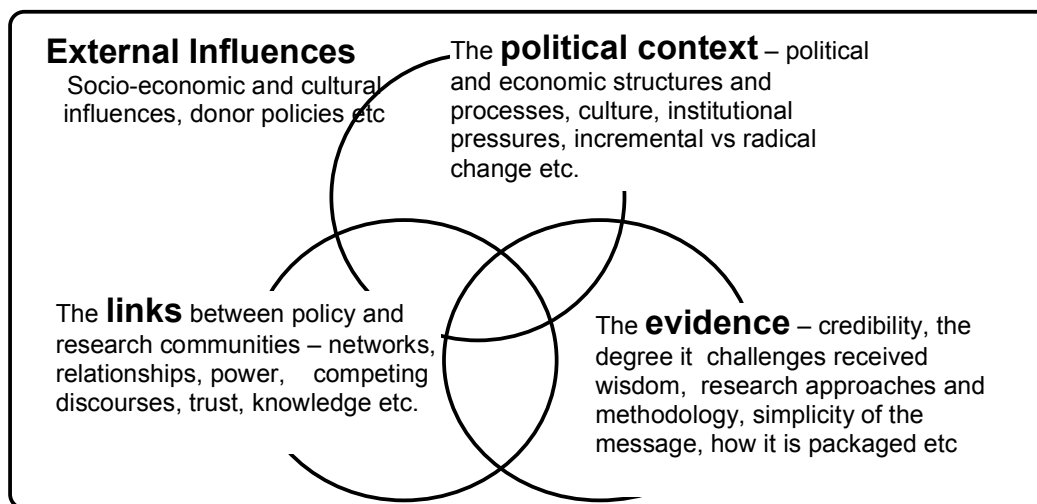
[http://www.cgiar-ilac.org/system/files/private/Articles/SDCs\\_Story-Guide-Practitioners\\_Version.pdf](http://www.cgiar-ilac.org/system/files/private/Articles/SDCs_Story-Guide-Practitioners_Version.pdf)

## 4.2 STEP 2: UNDERSTAND AND MAP THE POLICY CONTEXT

Having identified the issue to address and clarified one or a small number of policy objectives, the second step is to map the policy context around each specific policy issue and identify the key factors which may influence the relevant policy process. The amount of detail that is recorded depends on the collective understanding of the team and the information needed.

The RAPID framework<sup>6</sup> (in figure 3) provides a useful checklist of questions for this, including questions about the key external actors (What is their agenda, and how do they influence the political context?); the political context itself (Is there political interest in change? Is there room for manoeuvre? How do policy-makers perceive the problem?); the research-based evidence (Do you have it? Is it credible? Is it contested?); and the links between evidence and policy (Who else can help to bring evidence to the attention of policy-makers? Who are the key organisations and individuals? Are there existing networks to use? What role can the media play?). Appendix 2 provides a full list of questions.

**Figure 3: The RAPID ‘context-evidence-links’ framework**



A range of other more sophisticated context mapping tools are also available. Many of them are described in Mapping Political Context: A Toolkit for Civil Society Organisations (Hudson et al, 2006)<sup>7</sup>.

<sup>6</sup> See Young and Court, 2004.

<sup>7</sup> See Nash et al, 2006.

### Box 2: Worked example: identifying policy spaces as part of assessing the context with WVZ

One element of assessing the context is identifying key policy spaces (like the board of an organisation) or a process (a negotiation), governmental, non-governmental, or joint. WVZ staff were asked to write these on cards and then plot them on flipchart paper using blu-tac. The cards were then plotted clockwise around the edges of the flipchart paper (local level spaces on the left and national level ones on the right). Then one card at a time, the staff were asked: what space does this one feed into (or influence)? An arrow was drawn to that space. Over time the team could see the spaces that were the most influential and the ones that were the most influenced (see figure 4 below).

Given that the policy objective was to promote more and better community participation, most of the spaces were local level ones – district development coordinating committees (DDCCs), area development committees (ADCs), district councils, child clubs in community schools, parent-teacher associations, etc. Some of the national level spaces included parliament, and parliamentary committees (such as the public accounts committee and the health committee), the House of Chiefs, Civil Society for Poverty Reduction (CSPR), the INGO forum, the Health Sector Advisory Group (SAG). From the diagram, it was evident that at the local level, the DDCC was a much influenced space. At the national level, though less clear, parliament and cabinet office seemed an influenced space, while the Health sector SAG and parliamentary committees appeared influential. These spaces offered entry points for targeting advocacy efforts, particularly where WVZ had 1) a seat at the table; or 2) access to one or more actors who had a seat at the table.

**Figure 4: Policy spaces and their linkages**



#### Other tools and information

Political Economy Analysis

<http://www.gsdr.org/docs/open/PO58.pdf>

Force Field Analysis (see below)

SWOT (see below)

Influence Mapping

<http://www.odi.org.uk/resources/details.asp?id=5697&title=influence-mapping-stakeholder-analysis>

Gaventa's Power Cube

[http://www.odi.org.uk/events/horizons\\_nov06/22jan/John%20Gaventa.pdf](http://www.odi.org.uk/events/horizons_nov06/22jan/John%20Gaventa.pdf)

Rapid Evidence Assessment Toolkit

[http://www.gsr.gov.uk/professional\\_guidance/rea\\_toolkit/index.asp](http://www.gsr.gov.uk/professional_guidance/rea_toolkit/index.asp)



## 4.3 STEP 3: IDENTIFY TARGET AUDIENCES

A mapping of the context will have uncovered a variety of actors who have a particular role in the issue concerned. Understanding who the key actors are and how they relate to your policy is crucial when deciding who you need to engage with and how. This includes both actors directly involved in the specific policy process and actors who have an interest in and/or impact on the process.

Using the Alignment, Influence and Interest Matrix (AIIM) can help you decide which actors you wish to influence, by mapping different levels of interest, alignment and influence over your desired policy objective. Appendix 3 (Mendizabal, 2010) provides detailed guidance for using the AIIM tool.

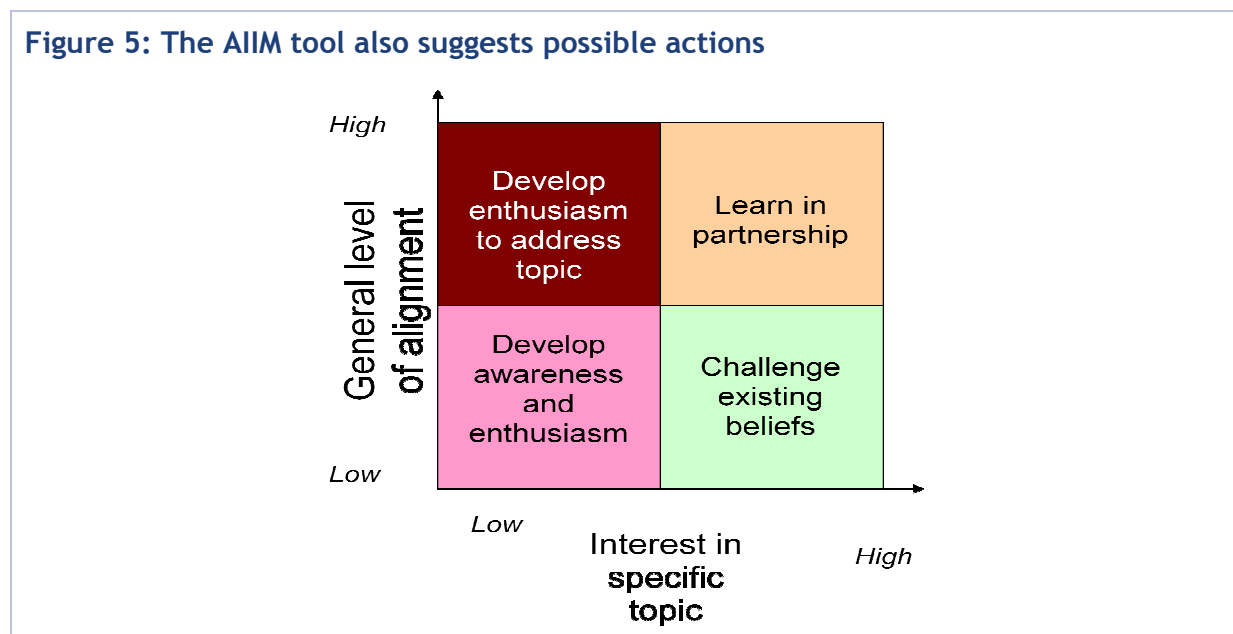
We provide a summary here:

An AIIM analysis is a collaborative effort and is most useful when a variety of team members are able to input. The matrix consists of two axis, with Interest on the x axis and Alignment on the y axis. Decide which group of actors you are discussing – it may be all actors identified in step 2 or a sub-set, e.g. a particular group or donors – and for each actor mark a dot on the matrix, based on:

- How much interest a particular actor has in your policy
- How aligned they are to your viewpoint

Actors who are very interested and aligned should be natural allies and collaborators, while those who are interested but not aligned are potential obstacles.

**Figure 5: The AIIM tool also suggests possible actions**



Once you've completed the map, discuss:

- Who are the most influential actors? Use circles of differing diameters to show their level of influence, using a larger diameter to show higher influence.

- What change would you like to influence in each of the actors (where do you want to see them move on the matrix?) – for example, would you like a particular actor to become more interested in or less opposed to your policy?
- Which changes does the organisation have the most influence over and/or are the most likely to occur?

Taken together, this should allow you to decide which actors you plan to influence – in other words, your priority stakeholders as well as what you could do to engage with them (see box 3).

### Box 3: Using the AIIM tool to prioritise actors

WVZ staff were walked briefly through the steps to develop an AIIM (step 1: identify and list all the actors; step 2: map these actors onto the matrix according to their level of alignment and interest; step 3: consider what the implications are on what you should do, and if there are too many actors – step 4: prioritise and consider which of the actors identified are the most influential on the policy processes and to which WVZ have access). WVZ staff were then asked to each generate 4-5 important actors and write each of them on one post-it note. Most of them were at district/community level. The staff were then asked to post them on the wall, beside a large flipchart paper with an AIIM matrix. They were then asked to take an actor and try to plot them on the matrix.

Staff were asked to write the evidence to explain their level of interest and alignment on the post-it note, before they plotted it on the matrix. It turned out that most of the actors were both interested and aligned (while a couple were 'sitting on the fence' and waiting to be convinced of the approach/objective). There were a few actors who were not interested and not aligned - mainly actors in central government - cabinet office and ministries of health and finance.

So why did nearly all actors appear to be highly interested and highly aligned? 1) most policy actors are genuinely interested and aligned, and there are just a few very powerful actors who are major obstacles for change; 2) publicly most actors are both interested and aligned, but privately they are not; related to this, 3) WVZ are only aware of actors who like them are both interested and aligned (as they only work in particular circles – related to confirmation bias); and 4) WVZ staff have limited understanding of the policy positions of the various actors. Nevertheless, basing a strategy on this analysis, it would suggest the building of alliances with a range of non-state actors including donors and civil society. And actually, forming alliances (and exchanging information and learning) with those in the top left quadrant (who could be more experienced in advocacy, especially on governance issues), could be an important first step for WV, as it builds a (national level) policy advocacy programme.



## Other tools and information

Influence Mapping

<http://www.odi.org.uk/resources/details.asp?id=5697&title=influence-mapping-stakeholder-analysis>

Social Network Analysis

<http://www.odi.org.uk/resources/details.asp?id=5210&title=social-network-analysis-networks>

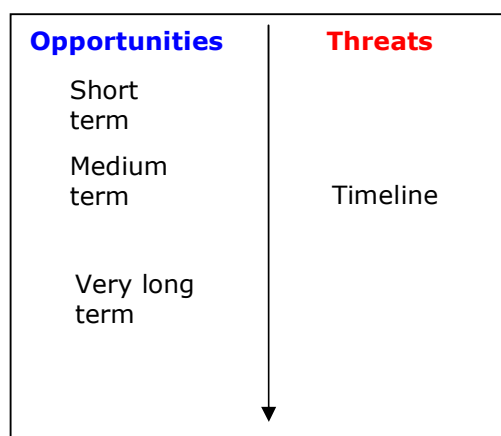
Stakeholder Analysis Guidelines

<http://www.lachealthsys.org/documents/policytoolkitforstrengtheninghealthsectorreform-partii-EN.pdf>

## 4.4 STEP 4: IDENTIFY SPECIFIC CHANGES

Having identified the key actors that you will attempt to influence, the fourth step is to consider the desired changes in the behaviours of those actors that the programme has set to influence directly. First, however, it is useful to think about the context and how it might change in the short, medium and long term. To do so, the planning team could develop a timeline that highlights known, expected and possible opportunities and threats related to the general environment – and to specific priority stakeholders. When doing this it is important to identify changes in the political context, the roles of key actors, networks, as well as changes in the external environment. The timeline should, if possible, extend beyond the lifetime of the intervention’s own lifetime.

**Figure 6: Opportunities and threats timeline**



To be able to monitor and learn as the programme evolves, it is important that the planning process develops ‘theories of change’ that describe the progressive changes in the behaviours of the priority stakeholders. These changes refer to behaviour changes that surpass the life-time of the project or advocacy initiative (change processes do not necessarily match the life-time of any given project).

When planning, the team members should set out long term or ideal objectives described as behaviour changes of the priority stakeholders. This can be done by writing a description of how the target audience will be behaving in, for example, five years time, if the intervention is as successful as it could be.

Using these, and the opportunities and threats timeline as guides, you can then think about a progression of changes in the behaviours (activities, relationships and power dynamics) of priority stakeholders that describe the spectrum of change, from basic to more complex changes. One method of describing these comes from Outcome Mapping, where the team defines progress markers as behaviours that they would:

**Expect to see:** in the short term, as a clear signal that those priority stakeholders are moving in the right direction and responding to the efforts of the programme;

**Like to see:** in the more medium to long term, as the result of progressive changes brought about by the programme and other’s influences; and

**Love to see:** in the very long term, as the result of a continuous process of change driven by forces beyond the control of the programme.

This list of rational and chronological changes in the behaviours of the priority stakeholders are both the objectives of the programme’s intervention and a guide for monitoring and learning. It is important to note that the first changes are usually a reaction to your actions; the second set describes initiative from the priority stakeholders themselves; and the third often describes the priority stakeholders influencing others. To ‘test’ if the theory of change makes sense, it is useful to imagine yourselves at the ideal stage and tell the story of the priority stakeholder, describing any changes in behaviour, making reference to the context (opportunities and challenges, for example) and the interventions or behaviour changes of other actors of which you are aware.

**Box 4: Worked example: identifying change with WVZ**

Participants were asked to develop actor specific outcomes – first a long-term outcome and then stepping stones to get to that outcome, i.e. short and medium term outcomes. Outcome mapping terminology was used – ‘expect to see’, ‘like to see’ and ‘love to see’. Participants found that developing actor, specific outcomes was very challenging. Initially, participants favoured phrases such as ‘improve policy implementation, or policy formulation,’ but after some coaching, they tended to specify in greater detail, coming up with phrases such as ‘the minister of youth, sport and child development proposes a bill to parliament to develop a policy on vulnerable children’. See the table below for a list of changes outlined for different priority actors.

**Table 1: Progress Markers**

Actor(s)	Expect to see	Like to see	Love to see
DFID Social Protection Adviser	To participate in impact mitigation thematic group meetings, read our position paper	To see DFID advance our cause in their policy engagement with MSYCD, MFNP	DFID to provide active support and put pressure on MSYCD and MFNP to formulate national OVC policy
NAC impact mitigation committee	To participate in the proposition of the OVC policy	To see NAC being in the forefront championing the OVC policy	Active support from NAC in drafting the OVC policy
Parliamentary Caucus on Children	Propose and influence formulation of the OVC policy amongst their peers	To see the committee champion the formulation of the OVC policy	Active support from the PCC in engaging other stakeholders on the OVC policy
MFNP - Director budgeting	Relationship built with MFNP and the Director of budgeting becomes aware of the situation of OVC.	To see Director budgeting being more aware and appreciative of the OVC issues.	To provide the financing framework and support for policy implementation

**Other tools and information**

Theory of reasoned action

[http://en.wikipedia.org/wiki/Theory\\_of\\_reasoned\\_action](http://en.wikipedia.org/wiki/Theory_of_reasoned_action)

Theory of change

[http://www.theoryofchange.org/pdf/tocII\\_final4.pdf](http://www.theoryofchange.org/pdf/tocII_final4.pdf)

Participatory Impact Pathway Analysis

[http://boru.pbwiki.com/f/ILAC\\_Brief17\\_PIPA.pdf](http://boru.pbwiki.com/f/ILAC_Brief17_PIPA.pdf)

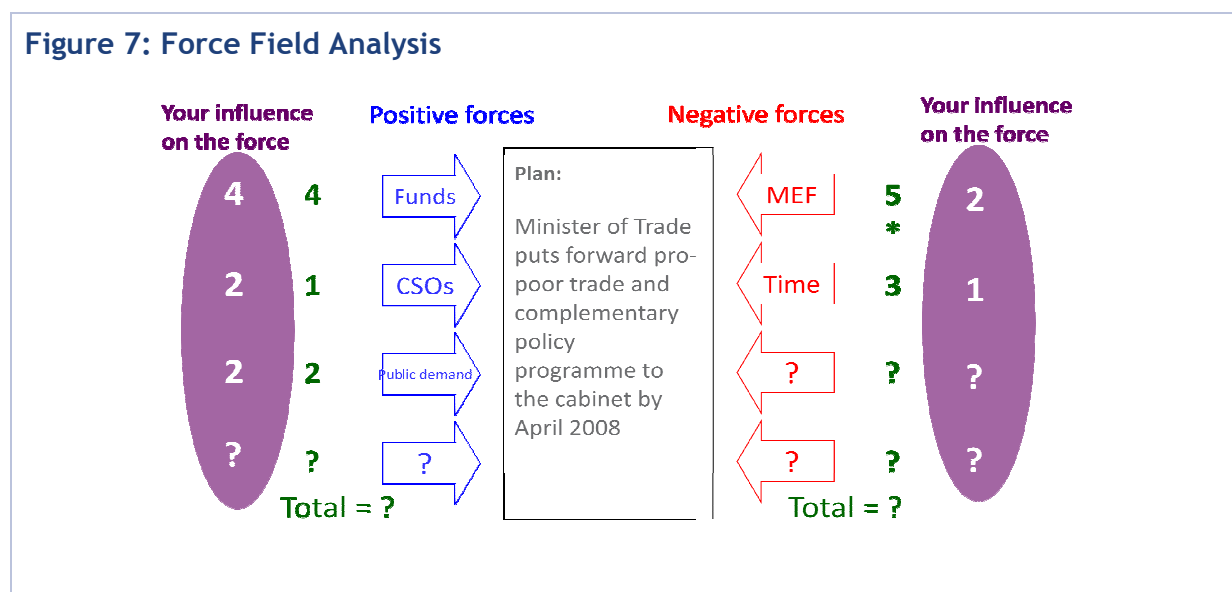
Evolving storylines

<http://mande.co.uk/special-issues/evolving-storylines-a-participatory-design-process/>

## 4.5 STEP 5: DEVELOP A STRATEGY

Having identified the progressive changes, the planning process then turns to the fifth step - developing a strategy to contribute to that process of change. Force Field Analysis is a tool, which can help you to consider the necessary activities that need to be carried out to bring about changes.<sup>8</sup> It also helps assess how easy or difficult change will be. To use the tool, users need to identify a key change (being clear about who needs to bring about the change and by when). They should brainstorm the forces for and against that change. (The larger and more diverse the group, the better the results of the tool will be). Then they award a value to each force, from 1 to 5: a value of strength that explains how influential are the forces to bring about the change or to stop it. Finally, they assess how influential they are on those forces using the same scale.

After adding up the forces, the users can have a better idea of how difficult/easy it would be to bring about that particular change. The value of your influence over the forces indicates which forces you ought to focus on to develop a strategy.



To help prioritise, it is useful to focus on:

- decreasing high negative forces (on which you have significant influence)
- increasing low positive forces (on which you have a high influence)
- increasing your own influence on strong forces (where your influence is initially low)

The strategy is developed by setting out the necessary activities that need to be carried out to strengthen the forces for and reduce the forces against change, for each actor and in order of priority. There are two types of activities: those directed at the actor and those at the forces (which constitute the environment of the actor). The latter might force us to re-think who our direct priority stakeholders are. It might be that before achieving the desired change on one priority stakeholder, the programme needs to

<sup>8</sup> FFA, used mainly in the private sector, was adapted by Ben Ramalingam, a former RAPID member of staff.

target others who have influence over it. This might mean, for example, that the partners will have to build new partnerships with better positioned organisations or actors.

**Table 2: Worked example: Using Force Field Analysis with WVZ**

		Positive		Change:	Negative			
Description of possible intervention	Influence on the force	Description	Influence on the change		Influence on the change	Description	Influence on the force	Description of possible intervention
	(1-5)		(1-5)		(1-5)		(1-5)	
	4	NAC better placed with policy issues of HIV & AIDS / OVC	4	Active support from NAC in drafting the OVC policy	5	Not final authority on matters of policy	1	
	1	Financial resources	3		4	Limited financial resources	1	
<b>Raise awareness through the media for the public to buy in</b>	3	Public demand	2		3	Lack of proper collaboration between MSYCD & NAC	2	<b>WVZ will facilitate a meeting between NAC &amp; MSYCD on issues to do with OVC</b>
<b>Share best practices &amp; OVC policies from other countries with government</b>	3	CSOs	3		4	There is resistance by government to formulate a policy focusing on the OVC alone	3	<b>Share best practices &amp; OVC policies from other countries with government</b>

### Other tools and information

Political Economy Analysis

<http://www.gsdr.org/docs/open/PO58.pdf>

Strategy Map (Outcome Mapping)

<http://books.google.co.uk/books?id=PzmzpCYiRQC&lpg=PA1&pg=PT76#v=onepage&q=&f=false>



## 4.6 STEP 6: ANALYSE INTERNAL CAPACITY

The sixth step is to consider the skills, competencies and systems required by the members of a team, the team as a whole, and the organisation for this kind of strategy to be successful (and deliverable). In essence, what are the changes that the implementers of the strategy need to undergo to deliver it successfully?

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

A SWOT (strengths, weaknesses, opportunities and threats) analysis<sup>9</sup> can be useful here:

**Figure 8: SWOT matrix**

<b>Strengths</b>	<b>Weaknesses</b>
<b>Opportunities</b>	<b>Threats</b>

**Table 3: Worked example: identifying WVZ capacity needs**

Rather than using the SWOT analysis, the team worked through the table below, which outlined the capacity they had to implement a specific activity, what capacity they needed, what actions were required to meet those capacity needs and who would be responsible for doing so:

<sup>9</sup> The origins of the SWOT tool are unknown, but it is said that the tool became common place in the training rooms of corporate America in the 1950s and 1960s – see <http://marketingteacher.com/swot/history-of-swot.html> for more information.

Activity	Have (staff, funds, time, etc.)	Need	Actions to secure new competencies, skills, alliances, etc.	Person Responsible
Commission a study to generate evidence on the situation of OVC in the communities.	Funds, staff to manage & review	Need for more financial resources, packaging of evidence	Recommend to World Vision UK to engage ODI for further capacity building in evidence packaging  Generate concept papers for funding the study	Dr. Gertrude Chanda
Working with community radio stations to run a series of live discussions programmes on OVC issues.	Funds, staff & time and links to other experts	Need for more financial resources.	Generate concept papers for the radio program,	Dr. Gertrude Chanda
Produce and distribute flyers about the need for the OVC policy during the Day of the African Child.	Funds, staff & to facilitate the celebrations	Need for more financial resources to produce flyers	Generate concept papers for the production of flyers	Dr. Gertrude Chanda

### Other tools and information

Your own HR competencies monitoring or skills framework

Policy entrepreneurship skills: Communicator, networker, manager and political negotiator

<http://www.odi.org.uk/rapid/Tools/Entrepreneurship.html>

Organisational Practices (Outcome Mapping)

<http://books.google.co.uk/books?id=PzmzpCYiRQC&lpg=PA1&pg=PT84#v=onepage&q=&f=false>

Creating the (organisational) conditions for an OM-based M&E and learning practice

<http://www.outcomemapping.ca/resource/resource.php?id=245>

## 4.7 STEP 7: DEVELOP A PLAN FOR LEARNING AND EVALUATION

Finally, developing a monitoring and learning system is crucial for learning and adapting. The approach so far should allow the team to produce and use four types of knowledge:

1. About content and context;
2. About the strategy (the activities);
3. About the outcomes (behaviour changes); and
4. About the skills, competencies and systems

These will help you and your partners to make decisions about changes or improvements in your strategies; keep track of and show upstream impact (on the 'expected' behaviour changes of the priority stakeholders, for example); and draw lessons for future consideration.

Crucial to the collection of knowledge is examining how to use and share it effectively. Intranet systems can be very useful, but sometimes the most basic face-to-face or phone-to-phone communications can produce the best results. Understanding how people learn is also important as learning methods need to take this into consideration.

Some ways you can gather and share these types of knowledge include:<sup>10</sup>

<b>Strategy</b>	Team meetings, Back to Office Report (BTOR), After Action Reviews (AAR), Retrospects, Strategy Maps
<b>Outcomes</b>	Force Field Analysis, AIIM, Progress Markers, and share them through Team Meetings, BTOR, AAR, Retrospects
<b>Competencies</b>	Existing performance appraisal processes within the organisation
<b>Context/Content</b>	Stakeholder assessments, targeted research, Political Economy Analysis, etc.

As part of the planning process, you should agree which of these methods you will use to monitor progress, based on the use and users of the monitoring information and the available spaces for data collection interpretation and communication. In particular, consider if monitoring will fit into your existing structures – for example using weekly team meetings – or whether it would be appropriate to organise (regular) review sessions, to assess progress more thoroughly. The scale of monitoring should be proportionate to the importance and complexity of the policy dialogue.

Three practical suggestions include:

1. **Journals** can be a useful tool for this purpose and in fact many of the steps above can take the form of journals, to track the progress of the team, either in terms of the movements of priority stakeholders (AIIM), realisation of desired behaviour changes (progress markers) or changes in the power dynamics and context of the priority stakeholders (force field analysis).
2. **Stories of change** can also be a powerful tool for understanding and communicating particularly successful initiatives.

<sup>10</sup> See Hovland, 2007 for more information on tools.

3. **After Action Reviews** can help teams debrief and pick out key lessons immediately following an event or activity.

### Other tools and information

Stories of Change

<http://www.odi.org.uk/resources/download/5235.pdf>

After Action Review

<http://www.odi.org.uk/resources/details.asp?id=5241&title=after-action-review-retrospect>

Most Significant Change

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

A guide to monitoring and evaluating policy influence

<http://www.odi.org.uk/resources/details.asp?id=5252&title=monitoring-evaluation-me-policy-influence>

Considerations for learning-oriented Monitoring and Evaluation with Outcome Mapping

<http://www.outcomemapping.ca/resource/resource.php?id=239>

A conceptual fusion of the logical framework approach and outcome mapping

<http://www.outcomemapping.ca/resource/resource.php?id=231>

A User's Guide to Advocacy Evaluation Planning

<http://www.hfrp.org/publications-resources/browse-our-publications/a-user-s-guide-to-advocacy-evaluation-planning>

## 5 Additional resources

### Other helpful resources for staff planning and implementing advocacy initiatives

- Helping researchers become policy entrepreneurs: How to develop engagement strategies for evidence-based policy-making  
<http://www.odi.org.uk/resources/download/1127.pdf>  
>>ODI briefing paper which outlines the RAPID Outcome Mapping Approach (ROMA)
- Outcome Mapping: building learning and reflection into development programs  
[http://books.google.co.uk/books?id=PzmzpCYiRQC&dq=outcome+mapping+manual&source=gbs\\_navlinks\\_s](http://books.google.co.uk/books?id=PzmzpCYiRQC&dq=outcome+mapping+manual&source=gbs_navlinks_s)  
>>An outline of a book on the Outcome Mapping methodology
- The Power of Evidence in Policy: A recourse pack for trainers in evidence-based policy advocacy in East Africa  
<http://www.odi.org.uk/resources/download/213.pdf>  
>>A resource pack for trainers on evidence based policy advocacy in East Africa
- Mapping Political Context: A Toolkit for Civil Society Organisations  
<http://www.odi.org.uk/resources/details.asp?id=152&title=mapping-political-context-toolkit-civil-society-organisations>  
>> A guide which describes a range of tools for understanding and mapping political context, for those hoping to engage more effectively in policy processes.
- The barefoot guide to working with organisations and social change  
<http://www.barefootguide.org/>  
>>A guide to promoting social change
- Assessing and Learning for Social Change  
<http://www.ids.ac.uk/index.cfm?objectid=3DE55E83-5056-8171-7B415B53F36972F5>  
>>A Discussion paper by the Institute for Development Studies on assessing and learning from social change
- Tools for Policy Impact: A Handbook for Researchers  
<http://www.odi.org.uk/resources/details.asp?id=156&title=tools-policy-impact-handbook-researchers>  
>>A handbook which presents tools for policy impact, specifically geared towards the needs of researchers.
- Learning While Doing: A 12-Step Program for Policy Change  
<http://www.cgdev.org/content/publications/detail/15417/>  
>>This outlines a 12-step program that the Center for Global Development (CGD) has applied successfully in a variety of policy contexts, to achieve its mission: improving rich-world policies and practices towards developing countries, with particular attention to how the Center has tracked the impact of these initiatives.
- The Advocacy Sourcebook  
[http://www.wateraid.org/documents/plugin\\_documents/advocacy\\_sourcebook\\_1.pdf](http://www.wateraid.org/documents/plugin_documents/advocacy_sourcebook_1.pdf)  
>>A resource for anyone who wants to understand, plan and carry out advocacy work systematically and effectively

- Tools for Knowledge and Learning: A guide for development and humanitarian organisations  
<http://www.odi.org.uk/resources/details.asp?id=153&title=tools-knowledge-learning-guide-development-humanitarian-organisations>  
>>30 tools to help capture, store and share knowledge so as to learn lessons from the past and from elsewhere

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## Appendix 1: Information Matrix

Policy objective: \_\_\_\_\_ (step 1)

<b>Key policy spaces and description</b> (step 2)	<b>Key policy-makers or policy actors</b> (step 3)	<b>Level of alignment, interest and influence on policy objective</b> (step 3)	<b>Potential or desired change</b> (step 4)	<b>Realised changes in alignment and interest over time</b> (during implementation)	<b>Key entry points</b> (step 5)	<b>Note additional resources and key staff roles for each entry point, policy actor or policy space</b> (step 5,6)
Policy Space A	Actor 1					
	Actor 2					
	Actor 3					
	Actor 4 etc.					
Policy Space B	An actor from a previous step (Actor 1, 3 etc.) or new actor (Actor 5)					
	An actor from a previous step (Actor 1, 3 etc.) or new actor (Actor 5, 6) etc.					



## Appendix 2: The RAPID Context, Evidence, Links Framework

### Introduction

The RAPID framework can be used as a conceptual framework to help researchers and policy entrepreneurs understand the role that evidence-based research plays, amongst other issues, in influencing policy. The four components of the framework can provide the user with in-depth and valuable information regarding policy windows, key policy actors and networks, gaps in the existing evidence, alternative means of communication and trends and changes in the external environment. Unfortunately, addressing all these issues can prove a daunting task. This tool can be used to ease the process. Thus, it presents some of the key questions that the researcher or policy entrepreneur should answer.

### Detailed outline of the process

This is a very flexible tool. The questions provided overleaf are only intended to guide the user in the process. It is the user who must assess whether the answers to these questions paint the whole picture or if other important questions remain unanswered. Once the questions have been answered the researcher or policy entrepreneur should consider what roles can the different policy actors (including him or herself) can play. For instance:

- Is there a need for more and/or different evidence? How can this new evidence be produced? Should NGOs, grassroots or think tanks and research centres be doing things differently? If there is sufficient evidence, does it need to be re-packaged and presented differently?
- Are the existing networks sufficient to carry research findings into the policy process? How can they be supported to improve their impact on policy? What new roles should these and new networks play?
- Are policy-makers and policy structures supportive of evidence-based policy-making? If not, how can they be made to be so? What capacities and skills do they need to use evidence and link with researchers? How can policy-makers promote the production of more and more relevant and useful research?
- How can the external forces be used to promote evidence based policymaking? Should the support networks and/or CSOs to promote the supply of evidence? Or should they work with policy-makers to promote the demand of evidence?

### Examples

The RAPID programme has used this tool in its analysis of various policy processes. They can be seen at: <http://www.odi.org.uk/rapid/Projects/R0040a/Summary.html>

### Further information and resources

RAPID has produced a series of resources that can be accessed through its website at <http://www.odi.org.uk/rapid/Index.html>. RAPID's Briefing Paper on bridging research and policy offers a good introduction into the subject. On page four, the Briefing Paper presents a table that can help move from the questions to an action strategy – it is available in English, French and Spanish ([http://www.odi.org.uk/rapid/Publications/RAPID\\_BP\\_1.html](http://www.odi.org.uk/rapid/Publications/RAPID_BP_1.html)). Similarly, other institutions working on similar issues can offer alternative and complementary frameworks to understand the links between research and policy (<http://www.odi.org.uk/rapid/Links/Index.html>).

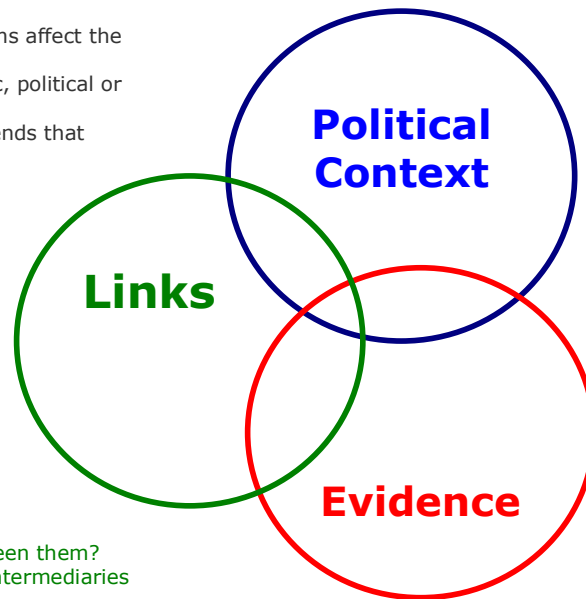
## The RAPID Framework: 28 Key Questions

### External Environment

1. Who are main international actors in the policy process?
2. What influence do they have? Who influences them?
3. What are their aid priorities and policy agendas?
4. What are their research priorities and mechanisms?
5. How do social structures and customs affect the policy process?
6. Are there any overarching economic, political or social processes and trends?
7. Are there exogenous shocks and trends that affect the policy process?

### Political Context

1. Who are the key policy actors (including policymakers)?
2. Is there a demand for research and new ideas among policymakers?
3. What are the sources of resistance to evidence based policymaking?
4. What is the policy environment?
  - a. What are the policymaking structures?
  - b. What are the policymaking processes?
  - c. What is the relevant legal/policy framework?
  - d. What are the opportunities and timing for input into formal processes?
5. How do global, national and community-level political, social and economic structures and interests affect the room for manoeuvre of policymakers?
6. Who shapes the aims and outputs of policies?
7. How do assumptions and prevailing narratives (which ones?) influence policymaking; to what extent are decisions routine, incremental, fundamental or emergent, and who supports or resists change?



### Links

1. Who are the key stakeholders?
2. Who are the experts?
3. What links and networks exist between them?
4. What roles do they play? Are they intermediaries between research and policy?
5. Whose evidence and research do they communicate?
6. Which individuals or institutions have a significant power to influence policy?
7. Are these policy actors and networks legitimate? Do they have a constituency among the poor?

### Evidence

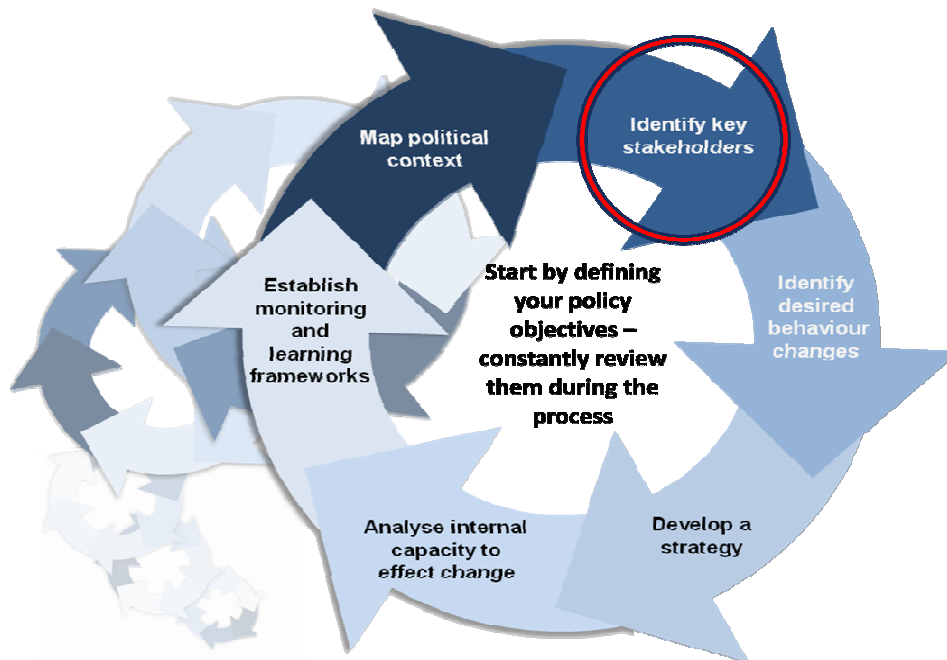
1. What is the current theory or prevailing narratives?
2. Is there enough evidence (research based, experience and statistics)?
  - a. How divergent is the evidence?
3. What type of evidence exists?
  - a. What type convinces policymakers?
  - b. How is evidence presented?
4. Is the evidence relevant? Is it accurate, material and applicable?
5. How was the information gathered and by whom?
6. Are the evidence and the source perceived as credible and trustworthy by policy actors? Why was the evidence produced?
7. Has any information or research been ignored and why?

## Appendix 3: Identifying and prioritising target audiences

Written by Enrique Mendizabal (2010)

### Background

The RAPID Outcome Mapping Approach (ROMA) draws from the Outcome Mapping methodology to support the planning, monitoring and evaluation of policy influencing interventions. It is used, in various forms, by ODI, DFID and a variety of other projects and organisations. The ROMA process can help develop strategies that involve a number of intervention types. At the core of the approach, as with the planning of capacity development, knowledge management, communications and networking strategies, is the identification of the intervention's audiences.



Traditionally, RAPID had used a standard Stakeholder Analysis tool to identify the audiences of research-based, policy influencing interventions. However, in 2007, on the eve of a workshop to introduce a new version of the RAPID approach to DFID policy teams, Enrique Mendizabal and Ben Ramalingam decided to look for a tool that would not only help to identify the main stakeholders, but also suggest a possible course of action towards them.

The Alignment, Interest and Influence Matrix (AIIM) was designed to do precisely that.

### Using the tool

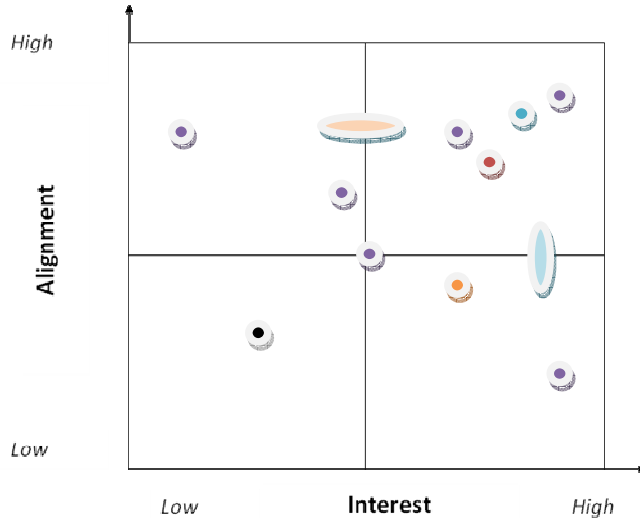
The AIIM tool is often used in a workshop setting and involves a diverse group of participants –each with insights into different actors or parts of the policy space. After defining the objectives of the intervention and carrying out some background context analysis (or in-depth research depending on the degree of complexity of the challenge), AIIM can help to clarify where some of the interventions' main policy audiences and targets stand in relation to its objectives and possible influencing approaches.

The **first** step of the process is to identify and list all the actors that may affect the policy outcome –if you do not have enough time then you should focus your attention on the most relevant or well known policy actors. These may be organisations, networks, groups, departments or teams within these bodies or even individual members. The level of detail will depend, in part, on how specific the policy objective is.

The **second** step of the process is to map these actors onto the matrix according to their level of alignment and interest. This should be based on evidence about their current behaviours and therefore it is important to consider their discourse, attitudes, the procedures they follow, and the content of their formal and informal policy expressions.

**Alignment:** Do they agree with our approach? Do they agree with our assumptions? Do they want to do the same things that we think need to be done? Are they thinking what we are thinking?

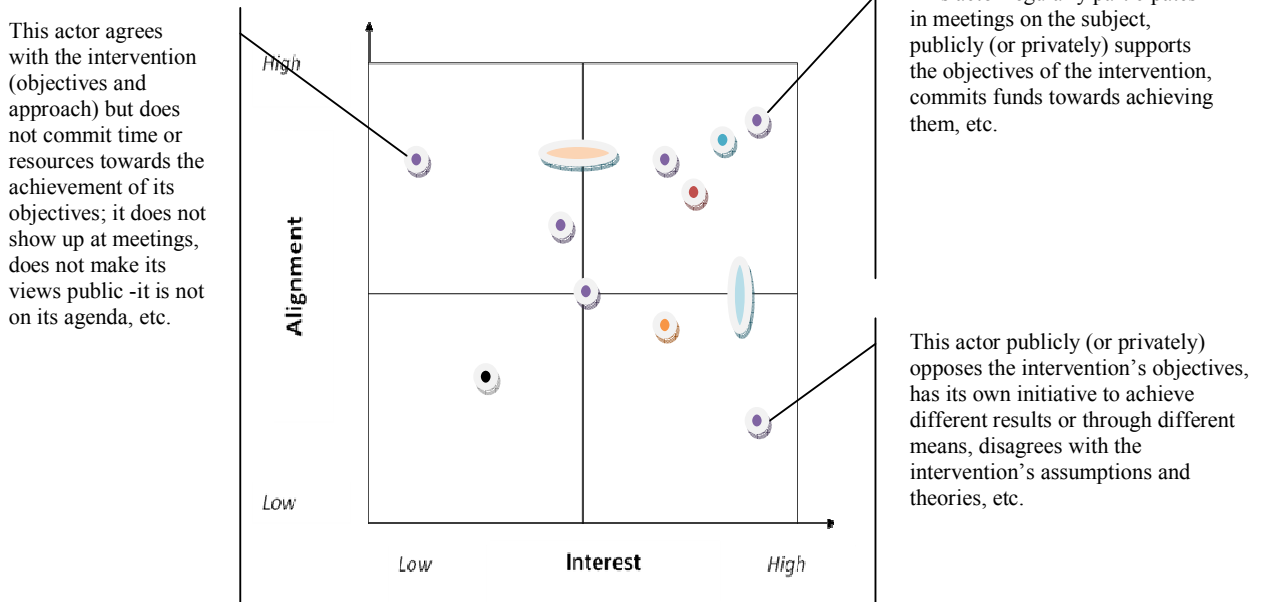
**Interest:** Are they committing time and money to this issue? Do they want something to happen (whether it is for or against what we propose)? Are they going to events on the subject? Are they publicly speaking about this?



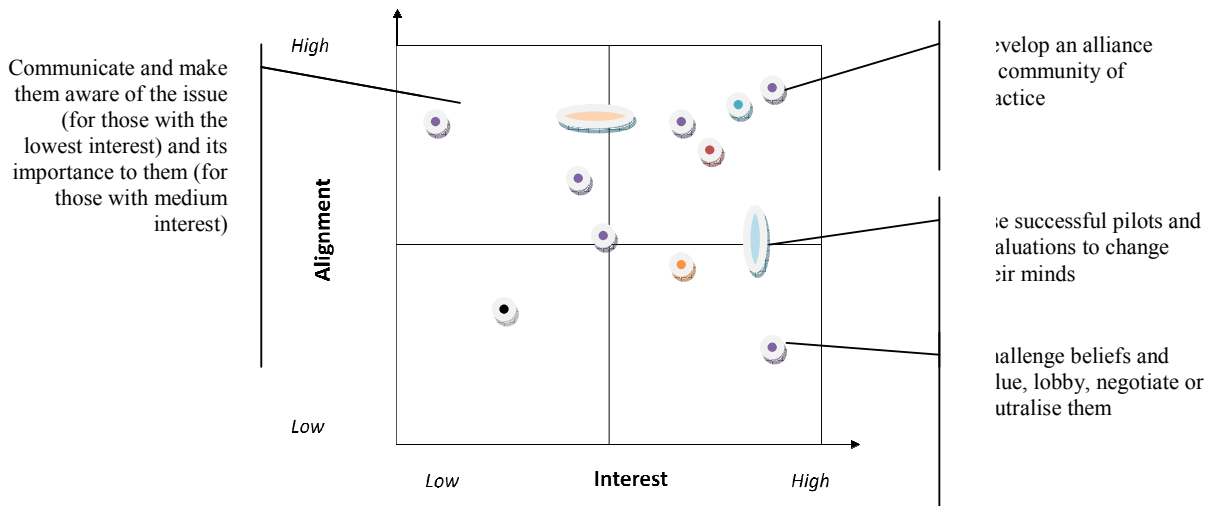
If the answers to these questions are positive then both the level of alignment and interest would be high.

You may use names or symbols to plot the actors; in some cases, shapes have been used to describe actors that may belong to more than one quadrant depending on a few contextual issues. (More tips are described in the section below). When mapping them onto the matrix you should consider the positions of the actors in relation to others.

You should also ensure that the positions are backed up by evidence –which may come from background studies, interviews, direct knowledge of the actors, observation, etc. (opinions should be corroborated as soon as possible). You should note the reasons for the location, for instance:



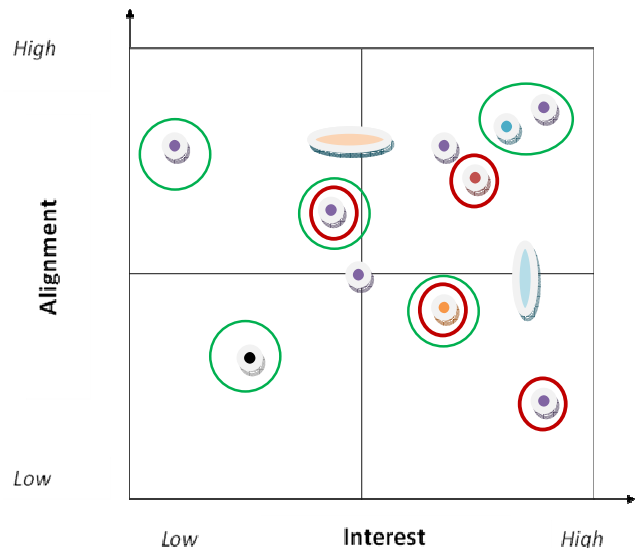
The **third** step is to start to consider what to do. This initial analysis should provide you with an idea about what to do. For example, in the figure below:



In some cases, this decision-making process may be affected by the presence of too many relevant actors. Therefore, the **fourth** step is to prioritise and consider which of the actors identified are the most **influential** on the policy process. This additional dimension can be noted by marking the main actors with a circle or maybe a star, as shown in the figure below –in this case using red circles.

In a few cases, this will not be enough and it will be necessary to identify those actors with which the organisation or intervention has a direct relationship, much like the concept of boundary partners, proposed by Outcome Mapping. In the figure below, this direct relationship has been represented by using a green circle.

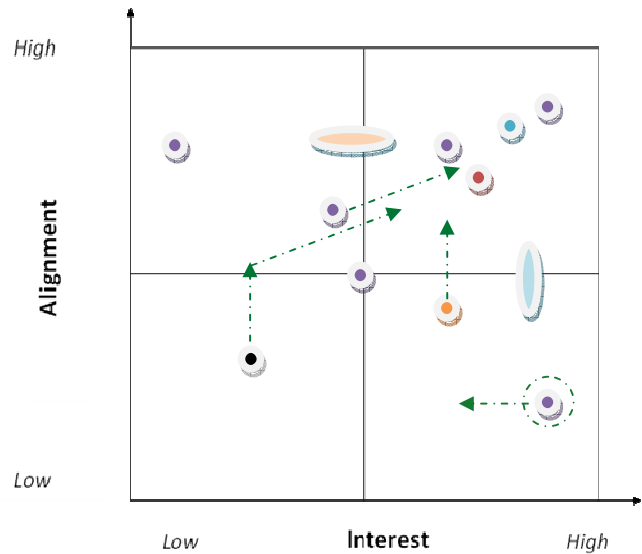
The diagram on the right then suggests that the main effort should be focused on the two actors which are both influential and accessible to the intervention's team.



However, this is not the only course of action. You may find it entirely relevant to focus on non-influential but highly accessible actors (green circle only); or to allocate all of your resources to tackle the 'opposing' actor (red circle only). This tool is intended to support this type of decision-making process where arguments for and against particular courses of action can be developed.

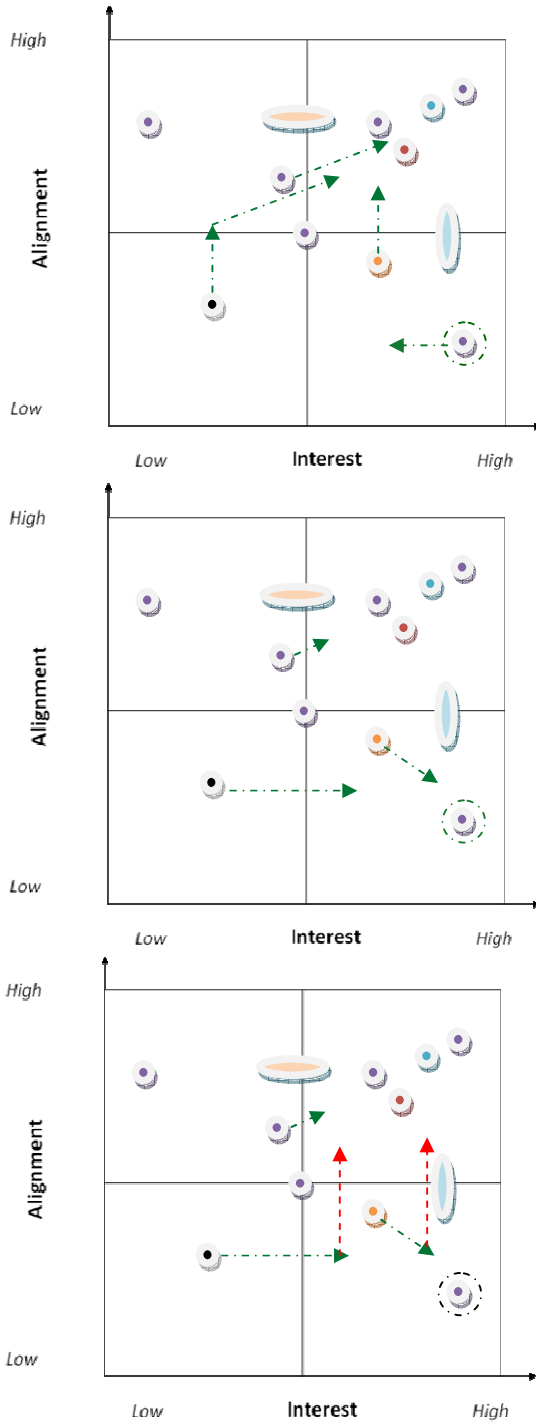
A **fifth** step involves the development of a pathway of change for your target audiences. This step can be supported by other steps of the ROMA process, but in essence it involves suggesting the trajectory that you expect and hope that each actor will follow. Each point along this context-sensitive pathway must describe a specific change in behaviour. In the diagram to the right we have removed the influence and access circles (for clarity) but added arrows suggesting desired change pathways for key actors.

To reflect the decisions of the previous step, the pathways which this particular intervention will attempt to influence are presented in green. The proposed pathway for the highly influential but out-of-reach actor in the lower right quadrant suggests that the intervention expects it to either remain in its place (circle) or lose interest (arrow). As it is deemed in this example, to be too difficult to tackle, the intervention will, for the time being, only monitor its position. If it changed to become more influential and actively opposed then the team might have to develop an explicit strategy towards it. Again, the matrix, with the possible pathways of change for the key target audiences, can help to decide the most appropriate course of action (your influencing actions) for each actor.



### Using AIIM for Monitoring and Adapting

This tool, like others included in the ROMA process, can also be useful for monitoring and evaluation purposes. Having defined the proposed direction of travel and the influencing actions for the intervention for a smaller set of priority actors, it should be possible to track progress using this tool.



The original AIIM can be used to develop the strategy for the entire intervention –this is made up of the individual change pathways (in green) and the proposed actions to contribute towards this change.

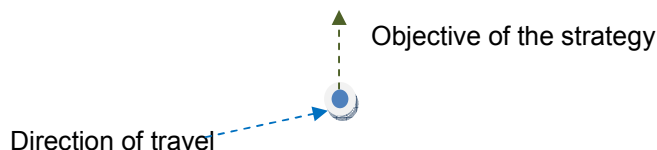
A follow up AIIM, may be developed during a review meeting, an After Action Review (AAR), or as part of preparing a back to office report (BTOR), and can show progress in relation to these pathways. In the diagram on the left, for example, only one of the actors seems to be moving in the expected direction, one remains unchanged and two have become more antagonistic to the intervention’s objectives.

This review can now be used to rethink the change pathways for these actors and the strategy for the intervention. It is possible that the original analysis made some mistakes, or was based on unreliable evidence about the actors’ actual behaviours, or that unexpected changes in the context have precipitated unexpected behaviour changes. In the diagram on the left the red arrows suggest the new change pathways for two of the actors.

### Some practical advice and tips

The tool has been designed to support decision-making, but it can also facilitate discussions and communication with internal and external audiences. Since it was developed in 2007, users have added innovations that we present here:

- Always attempt to state the policy objective or policy issue being addressed before listing and plotting the actors –it will make the process more manageable and give a clear and tangible reference against which the axes can be defined.
- Always make sure that the two main axes (alignment and interest) are clearly understood by all those involved in the process.
- If when plotting a particular actor you find it difficult to find a position that all the participants can agree with, try to break it down into smaller parts (maybe into the divisions of an organisation or even individual policy-makers) and see where different teams or people can be plotted –it is possible that a donor or government department does not always behave as a whole. If this does not work, it is possible that the policy objective is still too broad and general.
- If you do not have enough evidence about a particular actor’s current behaviour do not forget about it, plot it outside of the matrix to remind yourself and others that you may need to find out about them.
- Try to add direction of travel arrows to illustrate an actor’s own agency –remember that they are not static and are, just like you, trying to influence policy outcomes:



- Make sure that subsequent steps in the ROMA process follow from the AIIM analysis –or that, if contradictory findings emerge, you revise the matrix accordingly.
- If you use the matrix in a workshop, use post-its on a flip-chart sheet to plot the actors (they can be moved) –write the name of the actor on the front and evidence of its behaviour on the back.
- In a workshop it is best to brainstorm the actors on the flip-chart and then discuss the evidence for their suggested positions rather than spend too much time listing them or talking about them in a group. Once the actors are plotted you will be able to challenge positions or identify gaps more easily.
- Consider how some actors might be related to others. It is possible that targeting an actor that you have significant influence over (but who is not very influential on the policy process) might have an influence over another influential –yet inaccessible– actor.