

## Methodology Workshop, ILRI, 21<sup>st</sup> February 2005

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## Method Note1: Case Studies

Case study is an ideal methodology when a holistic, in-depth investigation is needed ([Feagin, Orum, & Sjoberg](#), 1991). Case studies have been used in varied investigations, particularly in sociological studies, but increasingly, in instruction. Yin, Stake, and others who have wide experience in this methodology have developed robust procedures. When these procedures are followed, the researcher will be following methods as well developed and tested as any in the scientific field. Whether the study is experimental or quasi-experimental, the data collection and analysis methods are known to hide some details ([Stake](#), 1995). Case studies, on the other hand, are designed to bring out the details from the viewpoint of the participants by using multiple sources of data.

[Yin](#) (1993) has identified some specific types of case studies: *Exploratory*, *Explanatory*, and *Descriptive*. [Stake](#) (1995) included three others: *Intrinsic* - when the researcher has an interest in the case; *Instrumental* - when the case is used to understand more than what is obvious to the observer; *Collective* - when a group of cases is studied. Exploratory cases are sometimes considered as a prelude to social research. Explanatory case studies may be used for doing causal investigations. Descriptive cases require a descriptive theory to be developed before starting the project. [Pyecha](#) (1988) used this methodology in a special education study, using a pattern-matching procedure. In all of the above types of case studies, there can be single-case or multiple-case applications.

Case study research is not sampling research; that is a fact asserted by all the major researchers in the field, including Yin, Stake, Feagin and others. However, selecting cases must be done so as to maximize what can be learned in the period of time available for the study.

The unit of analysis is a critical factor in the case study. It is typically a system of action rather than an individual or group of individuals. Case studies tend to be selective, focusing on one or two issues that are fundamental to understanding the system being examined.

Case studies are multi-perspectival analyses. This means that the researcher considers not just the voice and perspective of the actors, but also of the relevant groups of actors and the interaction between them. This one aspect is a salient point in the characteristic that case studies possess. They give a voice to the powerless and voiceless. When sociological investigations present many studies of the homeless and powerless, they do so from the viewpoint of the "elite" ([Feagin, Orum, & Sjoberg](#), 1991).

Case study is known as a triangulated research strategy. Snow and Anderson (cited in [Feagin, Orum, & Sjoberg](#), 1991) asserted that triangulation can occur with data, investigators, theories, and even methodologies. [Stake](#) (1995) stated that the protocols that are used to ensure accuracy and alternative explanations are called triangulation. The need for triangulation arises from the ethical need to confirm the validity of the processes. In case studies, this could be done by using multiple sources of data ([Yin](#), 1984). The problem in case studies is to establish meaning rather than location.

[Denzin](#) (1984) identified four types of triangulation: *Data source triangulation*, when the researcher looks for the data to remain the same in different contexts; *Investigator triangulation*, when several investigators examine the same phenomenon; *Theory triangulation*, when investigators with different view points interpret the same results; and *Methodological triangulation*, when one approach is followed by another, to increase confidence in the interpretation.

The issue of generalization has appeared in the literature with regularity. It is a frequent criticism of case study research that the results are not widely applicable in real life. Yin in particular refuted that criticism by presenting a well constructed explanation of the difference between analytic generalization and statistical generalization: "In analytic generalization, previously developed theory is used as a template against which to compare the empirical results of the case study" (Yin, 1984). The inappropriate manner of generalizing assumes that some *sample* of cases has been drawn from a larger universe of cases. Thus the incorrect terminology such as "small sample" arises, as though a single-case study were a single respondent.

Stake (1995) argued for another approach centered on a more intuitive, empirically-grounded generalization. He termed it "naturalistic" generalization. His argument was based on the harmonious relationship between the reader's experiences and the case study itself. He expected that the data generated by case studies would often resonate experientially with a broad cross section of readers, thereby facilitating a greater understanding of the phenomenon.

Yin (1994) presented at least four applications for a case study model:

1. To explain complex causal links in real-life interventions
2. To describe the real-life context in which the intervention has occurred
3. To describe the intervention itself
4. To explore those situations in which the intervention being evaluated has no clear set of outcomes.

Information technologies involve all four of the above categories, but this study will only report on the last two. Since the Levy (1988) case study of the University of Arizona, there has been very little literature relating to the pace of acquisition of information technology at institutions of higher education. For this reason, Levy (1988) conducted a case study after consulting with experts in the field and with senior case researchers. Their recommendation was to conduct an in-depth study of the institution using the case methodology. This study replicates and extends that study and thereby adds to the body of knowledge on the nature of information technology acquisition at universities.

Levy (1988) used a single-case design for the study at the University of Arizona. Single cases may be used to confirm or challenge a theory, or to represent a unique or extreme case (Yin, 1994). Single-case studies are also ideal for revelatory cases where an observer may have access to a phenomenon that was previously inaccessible. These studies can be holistic or embedded, the latter occurring when the same case study involves more than one unit of analysis. Multiple-case studies follow a replication logic. This is not to be confused with sampling logic, where a selection is made out of a population, for inclusion in the study. This type of sample selection is improper in a case study. Each individual case study consists of a "whole" study, in which facts are gathered from various sources and conclusions drawn on those facts.

As in all research, consideration must be given to construct validity, internal validity, external validity, and reliability (Yin, 1989). Levy (1988) established construct validity using the single-case exploratory design, and internal validity using the single-case explanatory design. Yin (1994) suggested using multiple sources of evidence as the way to ensure construct validity. The current study used multiple sources of evidence ; survey instruments, interviews, and documents. The specification of the unit of analysis also provides the internal validity as the theories are developed and data collection and analysis test those theories. External validity is more difficult to attain in a single-case study. Yin (1994) provided the assertion that external validity could be achieved from theoretical relationships, and from these

generalizations could be made. It is the development of a formal case study protocol that provides the reliability that is required of all research.

The design of this case study closely follows that of the Levy study. The methodology selected by [Levy](#) (1988) was based on the seminal work by [Yin](#) (1984) and confirmed by [Feagin, Orum, and Sjoberg](#) (1991). That single-case study methodology was used in the current study and is described below. [Danziger](#) (1985) has established the "context of use" as a mitigating factor in the study of computing in organizations. The "pattern matching" ([Yin](#), 1984) of acquisition and use established in other environments may be shown to be applicable in higher education. [Yin](#) (1994) listed six sources of evidence for data collection in the case study protocol: documentation, archival records, interviews, direct observation, participant observation, and physical artifacts. Not all need be used in every case study ([Yin](#), 1994). In this study, the last three types of sources are not relevant, since they are related to direct sociological investigation, and are not used.

For this case study, the researcher replicated [Levy's](#) (1988) study, but also adds to the field by examining aspects of client/server computing, the Internet, and the WWW. It is based on a modification of the methodology devised by [Yin](#) (1984). Each stage of the methodology will consist of a discussion of procedures recommended in the literature, followed by a discussion of the application of those procedures in the proposed study:

1. Design the case study protocol:
  - a. determine the required skills
  - b. develop and review the protocol
2. Conduct the case study:
  - a. prepare for data collection
  - b. distribute questionnaire
  - c. conduct interviews
3. Analyze case study evidence:
  - a. analytic strategy
4. Develop conclusions, recommendations, and implications based on the evidence

**Source:** Tellis. W. (1997, September). Application of a case study methodology [81 paragraphs]. *The Qualitative Report* [On-line serial], 3(3).

**Available:** <http://www.nova.edu/ssss/QR/QR3-3/tellis2.html>

## Case Study Example 1:

### **IDRC Policy Case Studies: Bridging Policy And Poverty: Micro Impact Of Macroeconomic And Adjustment Policies Programme In Bangladesh. Maria Pia Riggiozzi**

#### **Executive Summary**

The Evaluation Unit of the International Development Research Centre (IDRC) has recently evaluated the ways and extent to which IDRC's supported programmes have had an impact on policy formulation. Concerned with fostering research-policy links and enhancing the opportunities for policy impact, IDRC increasingly focused on supporting research with potential to influence policy. As part of a strategic evaluation, the Evaluation Unit of IDRC has commissioned external evaluations of IDRC funded projects to assess the influence of research on public policy. This study contributes to such evaluation by assessing the case of Micro Impact of Macroeconomic and Adjustment Policies Programme (MIMAP) in Bangladesh.

This study offers new insights to understand the types of policy influence experienced in the case of MIMAP. The relevance of this case rests on its contribution to new conceptual and methodological approaches to anti-poverty programmes in Bangladesh. By evaluating the research-policy nexus on the case of MIMAP, this assessment will help to draw lessons that can be applied in the institution's strategic planning process.

This study was based on a previous version elaborated by Kirit Parik. Methodologically it followed the terms of reference and guidelines provided by the IDRC's Evaluation Unit. A review of several documents related to MIMAP, in particular Mujeri and Khandker (2000) *Basic MIMAP Poverty Profile (BMPP) of Bangladesh* and other evaluation reports and publications were important sources for this evaluation. The analysis of policy influence, however, thoroughly relies on the interviews conducted by Kirit Parik during 2002.

This report first analyses the context in which MIMAP was implemented, the background of the programme and its rationale, objectives and relevance for the Bangladesh anti-poverty policies. A brief description of the project phases also provides a better understanding of MIMAP-Bangladesh. This is followed by an analysis of the methodological innovations and outcomes of the programme, including dissemination and outreach activities that have shaped the way in which knowledge producers and users interact in the formulation and implementation of anti-poverty policies in Bangladesh.

The final part of this report explores types of policy influence. Policy influence in the case of MIMAP is determined by the distinctive fact that research has permeated the inner circle of policy-making to be a constitutive part of the policy process. From this perspective some insights on policy influence are explained as MIMAP activities expand policy capacities, enhance policy horizons and change policies. This analysis presents a final reflection on factors that enhance or limit the capacity of policy influence of MIMAP related activities.

**Source:** IDRC Website

**Available at:** [http://web.idrc.ca/en/ev-57584-201-1-DO\\_TOPIC.html](http://web.idrc.ca/en/ev-57584-201-1-DO_TOPIC.html)

## Case Study Example 2:

### IDRC Policy Case Studies: Ecapapa Case Study. Chris Ackello-Ogutu

#### Executive Summary

##### Background

The link between research and policy making processes has always been problematic. The expectation of the International Development Research Centre (IDRC) is that the projects and programs it supports will influence public policy at the national and local levels. The Centre, however, needs to address what it means by the term *policy influence*. Initial discussions within the Centre and reviews of the literature and other relevant Centre documents point to three key questions: (1) what constitutes public policy influence in IDRC's experience; (2) to what degrees, and in what ways, has IDRC-supported research influenced public policy; and (3) what factors and conditions have facilitated or inhibited the public policy influence potential of IDRC-supported research. Evaluation of these three questions will not only provide learning at the program level thus enhancing the design of projects and programs to address policy issues but will also provide an opportunity for corporate level learning.

The case study of projects supported by IDRC through the East and Central Africa Program for Agricultural Policy Analysis (ECAPAPA) forms an important set of data that will help in improving the Centre's capacity to support research which fosters and supports the production, dissemination and application of research results leading to policies and technologies that enhance the lives of people in developing countries. The focus of the case study is on the development of rich case studies that explore not only the IDRC work undertaken but also the changing context in which the work was carried out and the processes that were used. It was anticipated that the study would cover a range of stories to include cases where policy outcomes may be perceived as either positive or negative (i.e., research leads to "good" or "bad" policymaking).

##### Objectives

The specific objectives of the study were to:

- ❑ Establish the policy concerns of ECA governments and evaluate how projects supported by IDRC address these concerns
- ❑ Establish the policy intent of selected projects supported by IDRC under ECAPAPA
- ❑ Determine what constitutes public policy influence and how selected DRC/ECAPAPA projects influenced public policy (to what degree and in what ways)
- ❑ Establish the factors and conditions that facilitated or inhibited the public policy influence of IDRC/ECAPAPA projects
- ❑ Evaluate whether ECAPAPA has the capacity and financial resources necessary to assist the Association for Strengthening Agricultural Research in Eastern and Central Africa (ASARECA) family of National Agricultural Research Systems (NARS) to incorporate policy concerns into their work

These objectives were investigated in the backdrop of an extremely dynamic policy arena in the East and Central Africa (ECA) region with many questions also being raised about the ability of the policy makers to translate plans and policy pronouncements (including recommendations arising from research) into real actions that promote economic growth, considering the current state of widespread insecurity, doubts about good governance and external impacts such as rapid globalisation. The ECA policy arena and other key concerns are summarised viz:

- ❑ **Markets:** their structure/conduct and how the institutions that manage them can be made to perform more efficiently; how market liberalisation and commercialisation are likely to influence market performance, especially impact on small producers and consumers; access to domestic and foreign markets and appropriate policies to open up regional markets
- ❑ **Productivity:** the prime movers relating to innovation (technology R&D); getting *capital* to the agricultural sector (the growth engine for many of the countries in the region) and revitalising agricultural *institutions*; improving *infrastructure* and access to utilities such as water and electricity; and the issue of sustainability, not just of the *environment and natural resources* but also of policy reforms (avoiding policy reversals), *education*, health and economic growth
- ❑ **Civil strife:** what are the causes of frequent wars in the region; how they lead to market failure which is further exacerbated by government failure (dictatorships, bad governance and state sponsored corruption) and implications on foreign direct investments
- ❑ **Poverty eradication and food security:** this is a major preoccupation of almost all the ECA governments, at least on paper; what are the poverty traps and how do we ensure that while attempting to direct public resources towards the poor we avoid unnecessary opportunity costs (lost markets, investments, growth and wealth creation potentials)
- ❑ **Implementation:** one of the biggest weaknesses in the region is the poor implementation of policies and national plans; there are institutional capacity constraints but there are also administrative and coordination lapses that are often compounded by political and ethnic considerations; the policy making process is thus made much more complex to outsiders, researchers and policy makers included; efforts aimed at influencing policy must therefore consider the intended and unintended impacts.

Our investigation into the IDRC supported research is therefore premised on the hypothesis that it would be much more difficult for the projects coordinated by ECAPAPA to have policy influence if they were not designed in the context of these key concerns and the many inhibiting factors that we consider endogenous to the ECA region. We hoped to derive from the specific cases we identified detailed stories or lessons of what worked, why they worked and the factors that contributed to failure or success in policy influence. For projects that had not matured to a point of assessing their impacts, we discuss their potential to influence policy in terms of their design, who was involved, funding levels, contacts and networks initiated during implementation, quality of the research team and organizational support from both IDRC project officers and the ECAPAPA Coordinating Unit.

**Source:** IDRC Website

**Available at:** [http://web.idrc.ca/en/ev-41432-201-1-DO\\_TOPIC.html](http://web.idrc.ca/en/ev-41432-201-1-DO_TOPIC.html)

## Method Note 2: Episode Studies

### Introduction

Episode studies are an excellent way of investigating the influence of research on policy. Episode studies refer to a study that focuses on a clear policy change and tracks back to assess what impact research had among the variety of issues that led to the policy change. They could be focusing on a single episode or comparative episodes.

Many studies of research impact start from a particular piece of research as the starting point and then follows the various impacts of this forwards over time. This can be useful (see tools on Research Utilization and Bibliometric Techniques), but tracking forward probably overemphasizes the importance of research vis a vis other factors. The crucial advantage of using an episode or tracer study is that the process of working backwards in time gives a more realistic view of the broad range of factors – other than research – that influence policy.

### Detailed Outline of Process

The first step is to identify a clear policy change. The next step is to identify your key Research Questions related to the issue – generally regarding what influenced policy change and what was the relative role of research. This process could draw on the RAPID framework.

Each episode study will need to construct an historical narrative leading up to the observed policy change in question. This involves creating a timeline of key policy decisions and practices, along with important documents and events, and identifying key actors.

The next step is to explore how and why those policy decisions and practices took place, and to assess the relative role of research in that process by drawing on the framework. In the RAPID episode studies, this was done through a variety of methods:

- review of the literature;
- interviews with key actors;
- capturing the authors' own experience; and
- discussions at workshops.

Since policy processes are complex, multi-layered and change over time, it is difficult to identify the key factors that caused policy to change (or not) and isolate the impact of research. The standard challenges of unconscious selection of informants are common to case studies. There is a certain risk that actors may 're-write history' after a time lapse of a few years, and in the light of the perceived failure or success of the policy in question. It is important to seek the views of a wide range of informed stakeholders. It is also important that the process of preparing an episode study is iterative; key facts and / or inconsistencies need to be cross-checked with key informants.

### A Good Example

The PRSP Initiative: Multilateral Policy Change and the Relative Role of Research  
In September 1999, the World Bank and IMF adopted a new approach to aid – the Poverty Reduction Strategy Papers (PRSP) initiative. A PRSP is a document that sets out an analysis of poverty in a country and defines the national strategy on how the government is going to reduce it.

They are important because preparation of a PRSP by low income countries are an eligibility criteria for debt relief and concessional lending from the World Bank and IMF. How did the idea of the Poverty Reduction Strategy Paper (PRSP) come to be adopted? What was the role of research in this process – both 'academic research' in general and the 'applied policy research' within the World Bank and IMF? This episode study traces the emergence of the PRSP initiative and the various factors, including the role and relative influence of research,

that contributed to this farreaching policy shift. (see :  
[http://www.odi.org.uk/RAPID/Publications/RAPID\\_WP\\_216.htm](http://www.odi.org.uk/RAPID/Publications/RAPID_WP_216.htm) )

### **Further Information**

RAPID has applied the approach to four case studies of policy change. The case studies were developed separately by their authors, but the same basic process was followed in each case and there were regular meetings to report and discuss the findings.

Young, J. Kajume, J. Wanyama, J. (2003) Animal Health Care in Kenya: The Road to Community-Based Animal Health Service Delivery, *ODI Working Paper 214*.  
[http://www.odi.org.uk/RAPID/Publications/RAPID\\_WP\\_214.htm](http://www.odi.org.uk/RAPID/Publications/RAPID_WP_214.htm)

Christiansen, K with Hovland, I (2003) The PRSP Initiative: Multilateral Policy Change and the Relative Role of Research, *ODI Working Paper 216*.  
[http://www.odi.org.uk/RAPID/Publications/RAPID\\_WP\\_216.htm](http://www.odi.org.uk/RAPID/Publications/RAPID_WP_216.htm)

Buchanan-Smith, M. (2003) How the Sphere Project Came into Being: A Case Study of Policymaking in the Humanitarian Aid Sector and the Relative Influence of Research, *ODI Working Paper 215*.  
[http://www.odi.org.uk/RAPID/Publications/RAPID\\_WP\\_215.htm](http://www.odi.org.uk/RAPID/Publications/RAPID_WP_215.htm)

Solesbury, W. (2003) Sustainable Livelihoods: A Case Study of the Evolution of DFID Policy, *ODI Working Paper 217*.  
[http://www.odi.org.uk/RAPID/Publications/RAPID\\_WP\\_217.htm](http://www.odi.org.uk/RAPID/Publications/RAPID_WP_217.htm)

**Source:** Tools for Policy Impact: A Handbook for Researchers, ODI 2004

**Available:** [www.odi.org.uk/Rapid/Publications/Tools\\_handbook.html](http://www.odi.org.uk/Rapid/Publications/Tools_handbook.html)

## **Episode Study Example 1:**

### **The PRSP Initiative: Multilateral Policy Change and the Role of Research. Karin Christiansen with Ingje Hovland**

#### **Executive Summary**

This paper traces the emergence of the Poverty Reduction Strategy Paper (PRSP) initiative and the various factors that contributed to its adoption in September 1999, including the role and relative influence of research in this process. A PRSP is a document that sets out an analysis of poverty in a country and defines the national strategy on how the government is going to reduce it. Preparation of a PRSP is an entry criterion for debt relief under the Heavily Indebted Poor Countries (HIPC) Initiative, and is also an eligibility criterion for concessional lending from the International Development Association (IDA) of the World Bank and the Poverty Reduction Growth Facility (PRGF) programme of the International Monetary Fund (IMF).

This Working Paper forms part of ODI's Research and Policy in Development (RAPID) programme, which seeks to learn more about linkages between development research, policy and practice. The main questions addressed are:

- How did the idea of the Poverty Reduction Strategy Paper (PRSP) come to be adopted?
- What was the role of research in this process?

The relative contribution of research is considered using a three-dimensional framework:

- Policy context: politics and institutions
- Evidence: credibility and communication
- Links: influence and legitimacy

#### **Policy context**

Probably the most important contextual factor that shaped the PRSP initiative was the major convergence of debates and controversies in the field of international development in the late 1990s. This led to a widespread sense of there being 'a problem' within the international development policy field even though policy-makers did not agree on the exact nature of the problem. The challenges that needed to be addressed – particularly by the World Bank and the IMF – included:

- The mandates of the IMF and World Bank were being questioned – the IMF particularly in the light of the 1997 Asia Crisis and the 1998 Reviews of the Enhanced Structural Adjustment Facility (ESAF) lending framework, and the World Bank in the light of deteriorating economic growth in sub-Saharan Africa and the commonly believed failure of Structural Adjustment Programmes (SAPs) to reverse this trend;
- The fall into disuse of the Policy Framework Paper (PFP), which was meant to be the operational mechanism for cooperation between the IMF and World Bank, but which by the late 1990s had, for practical purposes, become exclusively a tool of the IMF;
- The 1999 Review of the Heavily Indebted Poor Countries (HIPC) Initiative, which raised the question of how to link debt relief to poverty reduction in the design of the Enhanced HIPC Initiative, or HIPC2. There was a backdrop of substantial external pressure building up around this issue, particularly from the NGO movement, such as Jubilee 2000, to make debt relief 'broader, deeper, faster, better', and from the US administration to ensure that resources freed up by debt relief would be 'well spent';

- The need to operationalise the new conceptual framework for aid put forward by Wolfensohn's Comprehensive Development Framework (CDF) in early 1999, and to find a means of combining this with an explicit focus on poverty reduction. Poverty reduction had become a central concern for the UK Department for International Development (DFID), headed by Clare Short, who was also active in promoting a link between poverty reduction and debt relief. At the same time, poverty reduction strategies were a concern for the World Bank team that were preparing the World Development Report 2000/01, 'Attacking Poverty'.

The PRSP initiative can be viewed as bringing together all these interlinked concerns, and providing answers, or at least partial solutions, to the issues that needed to be addressed. It was, therefore, bought into by many different parties. The simultaneous recognition of similar sets of problems and similar ideas for solutions by various actors in the international development field in the late 1990s is probably the reason why the PRSP idea, which was a substantial challenge to current practice, took hold relatively easily and rapidly.

### **Evidence fields**

Broadly speaking, two evidence fields influenced the emergence of the PRSP initiative. First, the broad field of academic development research contributed, albeit often indirectly, to the big shifts in international development discourse in the 1970s, '80s and '90s, towards poverty, participation, and aid effectiveness. This research problematised historical practices within international development, setting the stage for the reviews of the 1990s.

Second, there is the field of applied policy research undertaken in the late 1990s, in particular the research related to the ESAF reviews, the HIPC review, the Strategic Partnership with Africa (SPA) Working Groups, and NGO research on debt relief. This evidence focused more on providing policy recommendations and operational solutions. It was considered most credible when it was commissioned by the IFIs themselves or other donors, demonstrated analytical rigour, and was communicated in a language that was accessible and relevant to World Bank and IMF staff and other donor agencies.

Less directly related to research, but with an extremely powerful demonstration effect, was the positive experience of Uganda in drafting and giving policy prominence to a Poverty Eradication Action Plan (PEAP). This did much to convince policy-makers of the feasibility and merits of the poverty reduction strategy model.

### **Links**

The PRSP story is characterised by a multitude of links between the various players, both policy-makers and researchers. The discussion of the main institutional actors – the World Bank and IMF, Strategic Partnership with Africa (SPA), the UK and US governments, and the NGO movement – illustrates clearly the high level of contact between individuals in different institutions. It was also significant that individuals moved between institutions and thus carried ideas with them. As one interviewee put it, 'none of the players is more than two handshakes away from any of the others'. The formal and informal networks contributed to the speed with which the PRSP ideas were spread and accepted in international development policy.

### **The PRSP tipping point**

The PRSP policy initiative can be viewed as a 'tipping point' in the international development field that drew together the concerns and thinking around poverty reduction, debt relief, World Bank and IMF lending to low-income countries, and aid effectiveness. In the Working Paper these issues will be explored in relation to three sub-questions:

1. How and why did the Comprehensive Development Framework (CDF) evolve into the PRSP?

Within the World Bank, a significant opening for a new model was created by Wolfensohn's CDF in early 1999. This put forward a new conceptual framework within the World Bank, which incorporated four principles for aid flows: (i) long term and holistic; (ii) country ownership and participation; (iii) results orientation; and (iv) country led partnership. The CDF conceptual framework provided the immediate backdrop for the emergence of the PRSPs. The two main influences it had on the PRSP were: (i) an impact on its substance; and (ii) laying the foundations which significantly contributed to the speed and widespread acceptance of the PRSP approach. This is illustrated by the fact that the CDF's four principles are in large part subsumed within the principles of the PRSP approach. The additional conceptual element that the PRSP incorporated was the explicit aim of poverty reduction, which gave operational form to the work that was being undertaken in Poverty Reduction and Economic Management (PREM, World Bank) on poverty analysis, leading up to the World Development Report 2000/01.

It is also important to note that the CDF lacked operational content. As there were no financial arrangements attached to it, this opened up space for a new aid mechanism that could take forward the CDF principles. When the PRSP approach was formulated in late 1999 it was perceived by some as just such a mechanism.

2. How and why did Heavily Indebted Poor Countries (HIPC) Initiative debt relief become linked to PRSPs?

The HIPC Review in 1999 can be seen as the trigger for a 'tipping point' that focused the agenda on several of the problematic issues around aid modalities, IFI coordination, debt relief, and poverty reduction. The HIPC Review process itself was important because it formalised a new and powerful connection between the World Bank and IMF policy departments. It also had wider implications as the need to rethink HIPC became a forum for addressing the range of current challenges. Through the HIPC Review, debt relief became directly linked to poverty reduction and to the operational aid modalities of the enhanced HIPC initiative (HIPC2). The simultaneous formulation of the PRSP idea seemed to draw together these various strands.

3. How and why did all International Development Association (IDA) and Poverty Reduction and Growth Facility (PRGF) flows then become linked to PRSPs?

The 1998 ESAF Reviews raised a number of critiques and issues that helped foster an environment within the IMF in which a new approach was more likely to be accepted. The increasingly obvious failure of the PFP mechanism, and the need to replace it, reinforced the search for new solutions. The G7 Finance Ministers and G8 Heads of State were becoming less tolerant of turf battles between the IFIs, and there was strong pressure from the G7 to build on experiences of successful collaboration, such as HIPC1. On a pragmatic level, the PRSP provided operational 'solutions' to many of these issues, which undoubtedly helped in making the IMF more favourably disposed towards it when it was formulated in September 1999.

Following the adoption of the PRSP, the IMF modified the ESAF low-income lending mechanism and renamed it the Poverty Reduction and Growth Facility (PRGF) in November 1999. The World Bank at the same time linked PRSPs to its low-income lending stream, the International Development Association (IDA), but chose to have a longer transitional period (until July 2002) to fully adapt its various lending instruments.

In summary, the PRSP was an operational solution that solved several internal problems and provided an answer to external pressures, particularly for the IFIs but also within different bilateral organisations. The fact that an idea as potentially radical as the PRSP initiative got through the Boards of the IMF and World Bank in September 1999 is due largely to the level of ownership felt for the idea by various policy-makers (including staff and management in the IFIs, bilateral donors and the NGO community), due to its emergence in a variety of debates and places over the late 1990s.

### **Bridging research and policy**

The study concludes with four implications for the relative influence of research on policy:

- Researchers are more likely to be influential if they interact with policy-makers and understand their constraints and agendas;
- Research is more likely to be influential when it is regarded as rigorous;
- Researchers are likely to have an indirect influence through networks;
- Evidence can change the policy context.

**Source:** ODI RAPID Website

**Available at:** [http://www.odi.org.uk/publications/working\\_papers/wp216.pdf](http://www.odi.org.uk/publications/working_papers/wp216.pdf)

## Episode Study Example 2:

### **Sustainable Livelihoods: A Case Study of the Evolution of DFID Policy. William Solesbury**

#### **Executive Summary**

This paper is a case study of the influence of research on a particular shift in policy for the Department of International Development (DFID). In the 1997 White Paper on international development, DFID made the 'sustainable livelihoods approach' (or SLA), a core principle of its strategy for pro-poor policy making. The concept of SLA had first appeared in research literature in the 1980s, and its inclusion in the White Paper marked its transfer to the policy domain. This Working Paper offers a descriptive narrative of this progression, identifies major events in the story, and analyses this successful transfer from research to practice and policy through the framework of context, evidence and links.

The paper forms part of the Overseas Development Institute's Research and Policy in Development (RAPID) programme, which seeks to learn more about linkages between development research, policy and practice. The main questions addressed are:

- How did the idea of the Sustainable Livelihoods Approach come to be adopted
- What was the role of research in this process

The principle events of the evolution of the SLA framework were as follows (see Table 1 for further details and references):

- |      |  |
|------|--|
| 1987 | The World Commission on Environment and Development publishes the 'Brundtland Commission report'   |
| 1988 | IIED publishes 'The Greening of Aid: Sustainable Livelihoods in Practice'  |
| 1990 | UNDP publishes the first Human Development Report  |
| 1992 | UN holds Conference on Environment and Development; IDS publishes 'Sustainable Rural Livelihoods' by Chambers and Conway   |
| 1993 | Oxfam employs the SL approach  |
| 1994 | Care adopts household livelihoods security as a framework for relief and development   |
| 1995 | UN World Summit for Social Development; UNDP adopts Employment and Sustainable Livelihoods as one of top five priorities; IISD publishes 'Adaptive Strategies and Sustainable Livelihoods' by Singh and Kalala; SID launches Sustainable Livelihoods and People's Everyday Economics project |
| 1996 | 'Adaptable Livelihoods' by Davies is published; DFID invites Sustainable Livelihoods projects; 'Participatory Research for Sustainable Livelihoods' by Rennie and Singh is published   |
| 1997 | New Labour publishes White Paper on International Development 'Eliminating World Poverty: A Challenge for the 21st Century'  |

These events have been mapped onto the RAPID framework of context, links and evidence, to explain the interactions of research, policy and practice. The case of SLA shows the framework to be useful in organising events and processes which influenced the policy shift in DFID, but suggest it must be refined to guard against determinism.

## **Context**

In a number of ways, the sustainable livelihoods approach (SLA) was well aligned with its political and institutional context. Firstly, the SLA was in tune with wider shifts in approaches to development through the 1980s and 1990s; towards a focus on human-wellbeing and sustainability rather than economic growth. Crystallised in the Brundtland Commission Report in 1987 and the first UNDP Human Development Report in 1990, NGOs and supportive researchers had negotiated this shift over the preceding decades. The new perspective was welcomed in the mid 1990s by DFID as it strove to redefine its role and mark the change of government in 1997 with a distinctive and timely approach to international development. The sustainable livelihoods approach succeeded in winning the attention of key policy-makers in donor institutions in the early 1990s, DFID in 1997 and the Natural Resources Department, away from the competing knowledge and theory which key individuals have been exposed to during the course of their careers. This attempt succeeded then because of the collision of two factors: a broad international climate which favoured people-centred approaches, and a specific need to mark out a new phase of development practice in DFID.

## **Links**

A number of individuals worked as 'testers, developers, champions, communicators, interpreters and advocates' of SLA to facilitate its adoption within DFID. More often than not, these individuals performed more than one of these roles, and many roles were performed by several people. In the development of SLA, core researchers, policy-makers and practitioners tended to know, or at least know of, each other. This was especially true within DFID, which fostered mutual respect, awareness and trust and eased the quality of ideas exchanges and the path of SLA. The creation of the Sustainable Livelihoods Resource Group lent a boost to the development of this community on an international level. Flows of ideas between individuals were reinforced by flows of individuals themselves, as critical agents moved their jobs and took their expertise and perspectives from one organisation to the next. The movements of individuals such as Conway between Imperial College, IIED, Ford Foundation, Sussex University and the Rockefeller Foundation, illustrate the non-linear trajectory of research, policy and practice in the development of SLA.

In the SLA case, the conventional view of research informing policy which frames practice: Research → Policy → Practice could be better represented as a triangle where all components inform each other.

## **Evidence**

As it was accumulated over the decade preceding the 1997 White Paper, the concept of SLA had been tested both intellectually and empirically by researchers and practitioners in dialogue. Evidence with these qualities was particularly attractive to DFID, who were not persuaded by a single campaigning group, but through their interactions with diverse sources and media. The numerous strands to SLA, and the fact that it was communicated many times by many agents, lent resilience to SLA as a core concept which would not be undermined by a single piece of counter evidence or failed argument. The very personal means by which SLA was transferred between colleagues, often through face to face discussions, also fostered resilience as the concept could be tailored to engage with the expertise and interests of specific individuals. However, of equal importance to the multifaceted nature of SLA, was its clarity and ability to be recognised and referred to. Since Chambers and Conway coined the phrase in their 1992 research paper, 'sustainable livelihoods' has expressed a complex set of relationships and ideas with great economy. The Sustainable Livelihoods Support Office produced a range of literature for both lay and political audiences which presented SLA clearly, with a range of case studies and practitioner guides. These have provided some centre of gravity around which more diffuse

and wide-ranging debates around SLA can revolve, and have ensured that – whilst being worked from many angles – the concept remained coherent.

### **Refining the Context/Links/Evidence Framework**

There are two elements of the case of SLA which fall outside RAPID's context/links/evidence framework: time and chance. In terms of time, a decade passed between the conceptual formation of SLA and its adoption in the 1997 White Paper. This time was necessary in part for the conjunctions of context we have outlined, but also in a less perceptible way for ideas to be internalised and embedded. The context/links/evidence framework falls short of tracking this process. As for chance, a number of lucky encounters, overlapping diaries, and external decisions set up the chronology of SLA. Arguably, the web of relationships that characterise the community of policy-makers, researchers and practitioners, was sufficiently close and well developed that had these incidents not taken place, others would have emerged in their place, but this cannot of course be verified.

Thus, in order to counter the potential for determinism from the context/links/evidence framework we must recognise a separation between necessary and sufficient conditions. Without necessary conditions there would be no chance of a successful impact of research on policy, but these conditions do not guarantee change on their own. *Sufficient* conditions lead to actual impact. In the case of SLA, these sufficient conditions were time and chance encounters. In other instances of research influencing policy, the conditions may be very different.

**Source:** ODI RAPID Website

**Available at:** [http://www.odi.org.uk/publications/working\\_papers/wp217.pdf](http://www.odi.org.uk/publications/working_papers/wp217.pdf)

## Method Note 3: Outcome Mapping



**outcome  
mapping**

**outcome mapping  
building learning and reflection into development programs**

Sarah Earl, Fred Carden, Terry Smutylo  
foreword by Michael Quinn Patton

IDRC 2001  
<http://www.idrc.ca/booktique>

english  
french  
spanish

### **The Challenges of Assessing Development Impacts**

As development is essentially about people relating to each other and their environment, the focus of Outcome Mapping is on people and organizations. The originality of the methodology is its shift away from assessing the products of a program (e.g., policy relevance, poverty alleviation, reduced conflict) to focus on changes in behaviours, relationships, actions, and/or activities of the people and organizations with whom a development program works directly.

In its conceptual and practical work over the past few years, IDRC's Evaluation Unit has encountered fundamental challenges in assessing and reporting on development impacts. While development organizations are under pressure to demonstrate that their programs result in significant and lasting changes in the well-being of large numbers of their intended beneficiaries, such "impacts" are often the product of a confluence of events for which no single agency or group of agencies can realistically claim full credit. As a result, assessing development impacts, especially from the perspective of an external agency, is problematic. Yet many organizations continue to struggle to measure results far beyond the reach of their programs.

To address this problem, IDRC has been working with Dr Barry Kibel, of the Pacific Institute for Research and Evaluation, to adapt his Outcome Engineering approach to the development research context. Methodological collaboration with the West African Rural Foundation and testing with the Nagaland Empowerment of People through Economic Development project and the International Model Forest Network Secretariat, have greatly informed this adaptation process. A methodology, Outcome Mapping, has evolved which characterizes and assesses the contributions development programs make to the achievement of outcomes. Outcome Mapping can be adapted for use at the project, program, or organizational levels as a monitoring system or it can be used to evaluate on-going or completed activities. It takes a learning-based and use-driven view of evaluation guided by principles of participation and iterative learning, encouraging evaluative thinking throughout the program cycle by all program team members.

This shift significantly alters the way a program understands its goals and assesses its performance and results. Outcome Mapping establishes a vision of the human, social, and environmental betterment to which the program hopes to contribute and then focuses monitoring and evaluation on factors and actors within its sphere of influence. The program's contributions to development are planned and assessed based on its influence on the partners with whom it is working to effect change. At its essence, development is accomplished through changes in the behaviour of people; therefore, this is the central concept of Outcome Mapping.

## Outcome Mapping: Focusing on Change in Partners

*Outcome Mapping provides not only a guide to essential evaluation map-making, but also a guide to learning and increased effectiveness and affirmation that being attentive along the journey is as important, and critical to, arriving at a destination.*

*Michael Quinn Patton, Foreword*

Outcome Mapping focuses on one particular category of results - changes in the behaviour of people, groups, and organizations with whom a program works directly. These changes are called "outcomes." Through Outcome Mapping, development programs can claim contributions to the achievement of outcomes rather than claiming the achievement of development impacts. Although these outcomes, in turn, enhance the possibility of development impacts, the relationship is not necessarily one of direct cause and effect. Instead of attempting to measure the impact of the program's partners on development, Outcome Mapping concentrates on monitoring and evaluating its results in terms of the influence of the program on the roles these partners play in development.

In the IDRC context, defining outcomes as "changes in behaviour" emphasizes that, to be effective, development research programs must go further than information creation and dissemination; they must actively engage development actors in the adaptation and application. Such engagement means that partners will derive benefit and credit for fulfilling their development roles whereas development programs will be credited with their contributions to this process. With Outcome Mapping, programs identify the partners with whom they will work and then devise strategies to help equip their partners with the tools, techniques, and resources to contribute to the development process. Focusing monitoring and evaluation on changes in partners also illustrates that, although a program can influence the achievement of outcomes, it cannot control them because ultimate responsibility for change rests with its boundary partners, and their partners and other actors. The desired changes are not prescribed by the development program; rather, Outcome Mapping provides a framework and vocabulary for understanding the changes and for assessing efforts aimed at contributing to them.

### **Terminology**

**Boundary Partners:** Those individuals, groups, and organizations with whom the program interacts directly to effect change and with whom the program can anticipate some opportunities for influence.

**Outcomes:** Changes in relationships, activities, actions, or behaviours of boundary partners that can be logically linked to a program's activities although they are not necessarily directly caused by it. These changes are aimed at contributing to specific aspects of human and ecological well-being by providing the boundary partners with new tools, techniques, and resources to contribute to the development process.

**Progress Markers:** A set of graduated indicators of changed behaviours for a boundary partner that focus on depth or quality of change.

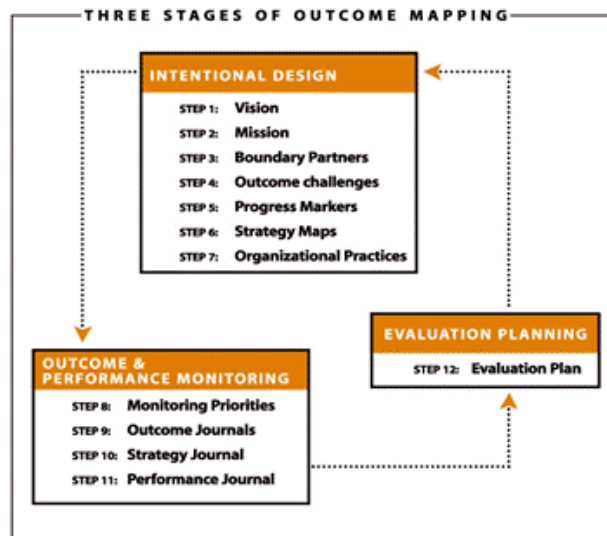
### **Outcome Mapping**

- Defines the program's outcomes as changes in the behaviour of direct partners
- Focuses on how programs facilitate change rather than how they control or cause change
- Recognizes the complexity of development processes together with the contexts in which they occur
- Looks at the logical links between interventions and outcomes, rather than trying to attribute results to any particular intervention
- Locates a program's goals within the context of larger development challenges beyond the reach of the program to encourage and guide the innovation and risk-taking necessary
- Requires the involvement of program staff and partners throughout the planning, monitoring, and evaluation stages

## The Structure of Outcome Mapping

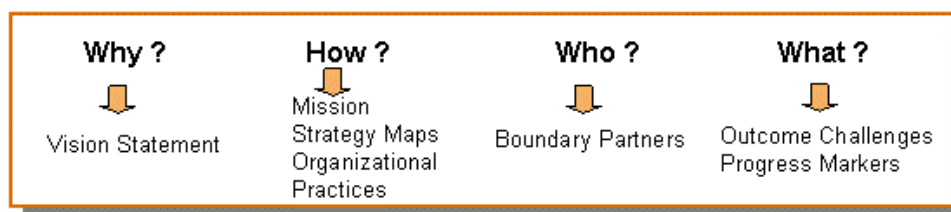
### Integrating Program Learning, Reflection, and Improvement

Outcome Mapping provides a development program with the tools to think holistically and strategically about how it intends to achieve results. Ideally, monitoring and evaluation would be integrated at the planning stages of a program. However, this is not always the case, so Outcome Mapping has elements and tools that can be adapted and used separately. The full Outcome Mapping process includes three stages. For each stage, tools and worksheets are provided to assist programs to organize and collect information on their contributions to desired outcomes.



Outcome Mapping encourages a program to introduce monitoring and evaluation considerations at the planning stage and link them to the implementation and management of the program. It also unites process and outcome evaluation, making it well-suited to the complex functioning and long-term aspects of international development programs where outcomes are intermeshed and cannot be easily or usefully separated from each other. Focusing monitoring and evaluation around boundary partners allows the program to measure the results it achieves within its sphere of influence, to obtain useful feedback about its efforts to improve its performance, and to take credit for its contributions to the achievement of outcomes rather than for the outcomes themselves. The above diagram illustrates the three stages of Outcome Mapping and the twelve steps of an Outcome Mapping design workshop.

**The first stage**, Intentional Design, helps a program clarify and reach consensus on the macro-level changes it would like to support and to plan the strategies it will use. Outcome Mapping does not help a program identify programing priorities. It is only appropriate and useful once a program has chosen its strategic directions and wants to chart its goals, partners, activities, and progress toward anticipated results. After clarifying the changes the program intends to help bring about, activities are chosen that maximize the likelihood of success. The Intentional Design stage helps answer four questions:

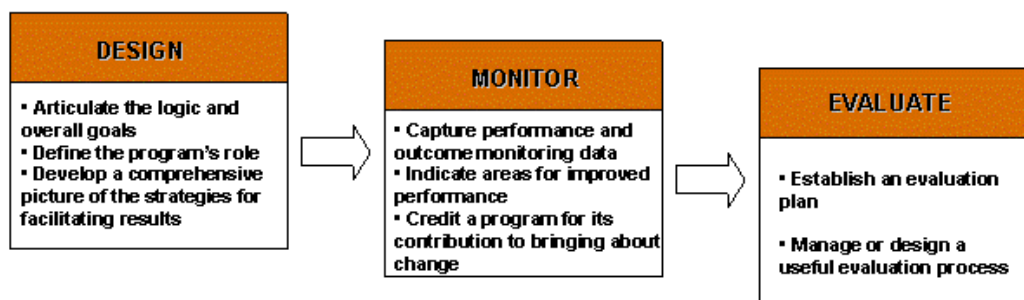


**The second stage**, Outcome and Performance Monitoring, provides a framework for ongoing monitoring of the program's actions in support of its boundary partners' progress towards the achievement of outcomes. The program uses progress markers, a set of graduated indicators of behavioral change identified in the intentional design stage, to clarify directions with boundary partners and to monitor outcomes (Outcome Journal). It uses a Strategy Journal (to monitor strategies and activities) and a Performance Journal (to monitor organizational practices) to complete a performance monitoring framework. This framework provides the program the opportunity and tools both to reflect on and improve performance and to collect data on the results of its work with its boundary partners.

Whereas with the monitoring framework in Stage 2 the program gathers information that is broad in coverage, a strategic evaluation examines a strategy, issue, or relationship in greater depth. **The third stage**, Evaluation Planning, helps the program set evaluation priorities so that it can target evaluation resources and activities where they will be most useful. An evaluation plan outlines the main elements of the evaluations to be conducted.

### **Using Outcome Mapping**

Outcome Mapping is usually initiated through a participatory workshop led by an internal or external facilitator who is familiar with the methodology. This event is geared to the perspectives of those implementing the program and focuses on planning and assessing the changes they want to help bring about. It is useful to include boundary partners in the initial workshop for input on the relevance, activities, and direction of the program. This workshop allows the group to reach consensus about the macro-level changes they would like to support and the strategies to be employed to do this. It also provides a basis for subsequent discussions with partners to negotiate program intentions and to help the program develop a monitoring system and establish an evaluation plan.



Outcome Mapping helps a program be specific about the actors it targets, the changes it expects to see, and the strategies it employs and, as a result, be more effective in terms of the results it achieves. It is particularly valuable for monitoring and evaluating development programs whose results and achievements cannot be understood with quantitative indicators alone but also require the deeper insights of a qualitative, contextualized story of the development process.

Outcome Mapping is a dynamic methodology that is currently being tested at the project, program, and organizational levels. *Outcome Mapping: Building Learning and Reflection into Development Programs*, by Sarah Earl, Fred Carden, and Terry Smutylo, will be published in English in October 2001, and in French and Spanish in 2002. It explains the various steps of the approach and provides more detailed information on facilitating the design workshop, including worksheets and examples. Outcome Mapping remains a work in progress so we look forward to receiving your comments and suggestions.

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Source: IDRC. Canada

Available: [http://web.idrc.ca/en/ev-64698-201-1-DO\\_TOPIC.html](http://web.idrc.ca/en/ev-64698-201-1-DO_TOPIC.html)

## **Outcome Mapping Example:**

### **Exchange of Outcome Mapping experiences. IDRC (2004)**

#### **Introduction**

During a meeting in Ottawa in April 2004 a group of IDRC staff met to exchange experiences on the use of Outcome Mapping (OM) by IDRC partners in Latin America. These notes collect key points discussed during the meeting.

#### **Involving Boundary Partners in OM planning workshops**

Several of the projects using OM have been incorporating Boundary Partners (BP) in OM workshops. By involving Boundary Partners in the development of Outcome Challenges (OC) and Progress Markers (PM), the value-added of partner participation is that partners can voice what they feel are accurate indicators of change, which in turn provides important input for the development of realistic Progress Markers for the project. It also helps to explore to what extent project staff and Boundary Partners are thinking along the same lines with regards to expected outcomes, etc.

A key lesson learned from those projects which have tried to involve Boundary Partners in the OM planning process is the importance of having clear expectations and objectives of the meeting. Partners need to know why they have been invited to participate and what the output of the meeting will be. Otherwise, the invitation can lead to unfounded expectations on the part of Boundary Partners that, for example, their ideas discussed at the workshop will be funded. Boundary Partners need to be clear about how their input at the workshop will be used and what they can expect from it. It is also important to be selective about which boundary partners are invited, to think carefully of which boundary partners can make a useful contribution to the process.

#### **Defining Outcome Challenges and Progress Markers**

Projects have had difficulty in defining outcomes in terms of behavioural change, and also in developing Progress Markers. Reaching a final set of Outcome Challenges and Progress Markers may take several iterations during the planning process. During the project implementation in some cases changes to Progress Markers are made as the project progresses (e.g. after six months of project commencement the project team will go back and make changes to progress markers).

The revision of progress markers reflects a difficulty in the project's understanding of how to develop Progress Markers. It has been difficult for researchers to shift their thinking to think research questions in terms of desirable behaviour change, and it has been difficult for project staff to express outcome challenges in terms of behavioural change. When implementing the monitoring framework and filling-in the Outcome Journals, researchers become aware of the need to revise their Progress Markers when reviewing the progress achieved by their Boundary Partners.

Progress Markers can be regarded as a reflection of a program's theory of change rather than as indicators per se. Therefore, it is valid that as you learn, and one's understanding of change changes, that Progress Markers also change.

#### **Project monitoring using OM journals**

Several project are using OM journals (Outcome Journals, Strategy Journals and Performance Journals) for monitoring. One of the problems facing projects is that project staff have difficulty in being able to determine precisely what monitoring information they need, and how they will use that information. There is a tendency to try to fill all journals for all Boundary Partners and all strategies. This generates a wealth of information that the project does not have the capacity to process and analyse. They find that they have too much information coming out of monitoring of each boundary partner.

The water project in Bolivia for the first interim technical report selected key BP and strategies to be monitored and on those the Outcome Journals are filled in and the information used for the preparation of the technical report for IDRC.

In the experience of the above projects, the information collected for the Outcome Journals has largely been done through project staff observation of boundary partner behaviour. The information is collected by researchers and usually presented at project internal meetings (done every 2-3 months, depending on the project). In using the information, researchers conduct an analysis of the information collected, in order to assess what has changed or what has not changed, and what might be factor leading to that change, which is captured in the Outcome and Strategy Journals.

### **Benefits of using OM**

With regards to these experiences, it has been the case that partners using OM have made changes to their own programming as a result of the reflection which is taking place every three or six months (in filling out the Journals). The Journals exercise provides a key opportunity for project staff to reflect on their work, and to explore where there has, or has not, been progress/ change, and to understand why.

A benefit of OM in comparison to other M & E tools has included the usefulness of the information collected for reporting purposes, given that the information being regularly collected and reflected upon is immediately relevant as input into IDRC reporting or to other donors such as CIDA. In the case of the Nagaland project in India, in OM the project has discovered a particularly appropriate tool for capturing qualitative changes, which complements the quantitative data that was being captured (and continues to be captured) through more traditional M & E tools.

**Source:** IDRC Website

**Available at:** [http://web.idrc.ca/uploads/user-S/10922291551OM\\_experiences\\_lac.pdf](http://web.idrc.ca/uploads/user-S/10922291551OM_experiences_lac.pdf)

## Method Note 4: RAPID Outcome Assessment (ROA)

### ROA definitions of key terms

- **Boundary partners:** individuals, groups and organisations with whom we interact directly to effect change. Boundary partners are not strategic partners. Strategic partners are those with whom we work to effect change on others but whose behaviours we do not aim to influence ourselves.
  - How do we determine who are our boundary partners? Answer the following questions:
    - Who are we trying to encourage to change so that they will contribute to our vision?
    - With whom do we work directly?
- **Outcomes:** changes in behaviours, relationships, activities and/or actions of the people, groups and organisations with whom we work. Outcomes are about the boundary partners not about the programme itself. The programme's objective is to affect those outcomes.
- **Behaviours:** the way we or our boundary partners do things. Behaviour might be an uncomfortable term so in some cases it is better to think about them in terms of some of the following: What is it that the boundary partners do? Who do the boundary partners interact or engage with? What are their objectives? How do they try to achieve them?

### The ROA key stages

The ROA is designed around a visual tool to collect as much information about the changes in behaviours of key project partners that are conducive to policy change. It helps us determine what was the contribution of the project (programme, strategy, etc.) to any particular change in behaviour –and ultimately to the policy change. The ROA can be used for both ex-post and ex-ante evaluations and in the case of the later it can provide an excellent framework to organise the collection, classification and use of relevant information to monitor the impact of a project on policy.

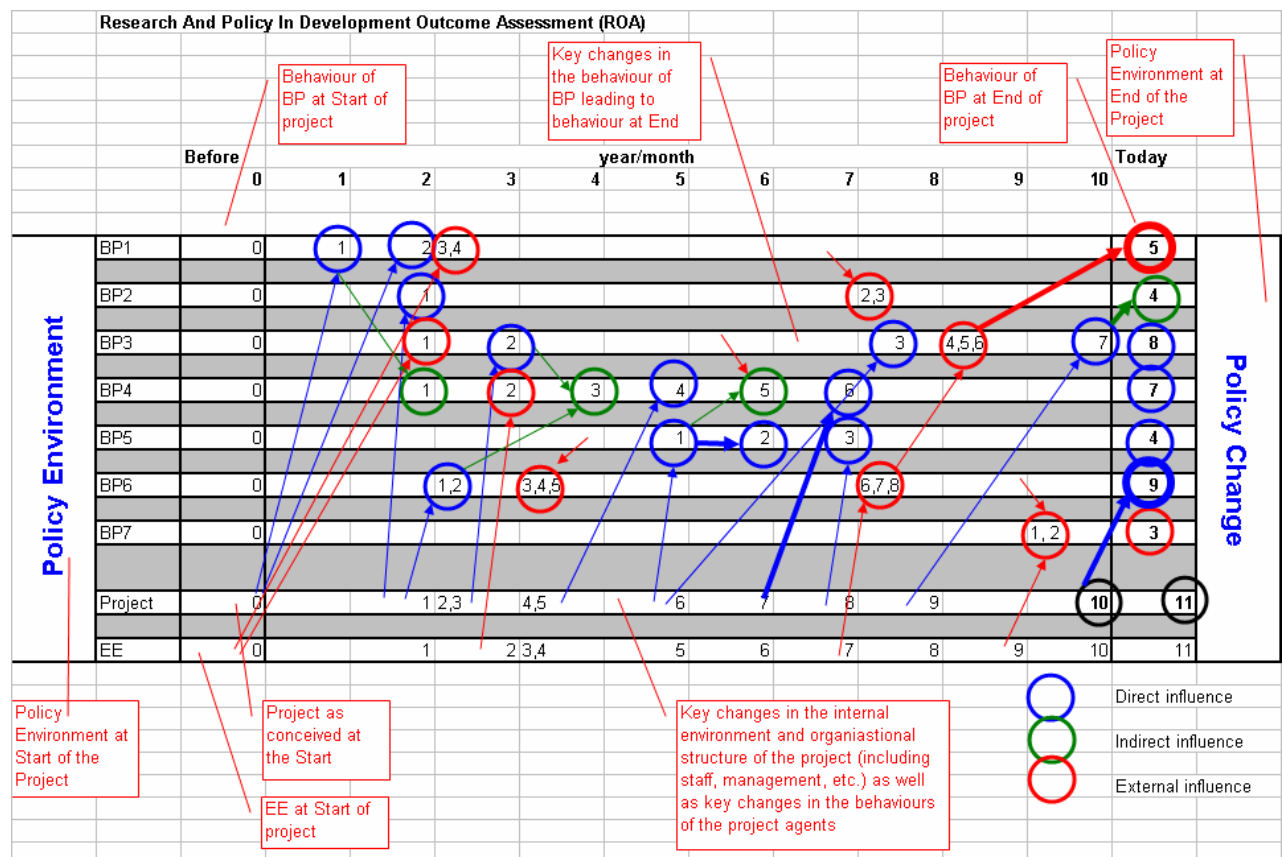
The ROA has been originally designed to evaluate a research policy network designed to produce research and inform the milk policy process in Kenya. The Smallholders Dairy Project is a network made up of representatives of some of the key policy actors of the milk policy process. These policy actors are the project's boundary partners and it is their behaviours that the project has intended to affect during its lifetime.

The evaluation methodology was designed to consist of four stages. A first stage involves the development of a thorough literature review and background research on the project, its achievements and some key information about its history. This helps us to set up the skeleton of the ROA. A second stage involving a participatory workshop in which the boundary partners help us complete the ROA and suggest several examples of and explanations for research policy linkages. The third stage consists of an in-depth study of loose ends and other unclear issues by means of in-depth interviews with key informants and the collection of what ever evidence of links exists. Finally, a report can be written considering one or more points of view: boundary partner, timeline, project outputs and policy change.

To use the methodology, the following steps needs to be followed. It must be noted that although this order is suggested, information might become available at different stages meaning that some steps ought to be repeated accordingly. In any case, identifying a policy change or describing the policy environment at the end and beginning of a project or intervention should be the first steps.

The key steps of the ROA are the following:

1. Describe the policy environment at the end of the project
2. Describe the policy environment at the beginning of the project
3. Identify the key policy actors or agents of change
4. Within the agents of change, identify the boundary partners that are conducive to the change or that influence the policy environment
5. Describe the behaviours of the boundary partners that are conducive to a change in the policy environment or policy.
6. Describe the behaviours of the boundary partners at the beginning of the project
7. Map the key changes in behaviour for each boundary partner from the start of the project
8. Map the key changes in the internal environment of the project including organisational changes, outputs and changes in behaviour during the same period.
9. Map the external influences including the actions of strategic partners and other exogenous factors during the same period.
10. Determine the level of impact/influence of the project on the changes in behaviour of the boundary partners.
11. Determine the level of impact/influence of external influences on the changes in behaviour of the boundary partners and the project.
12. Refine the conclusions with in-depth interviews and assess the real contribution of the project to the policy environment.
13. Write report



## Reading List on Methodology

**Court, J., Hovland, I., and Young, J. (Eds.). 2004. Bridging research and policy in development: Evidence and the change process.**

Based on theoretical and case study research, this book presents a cohesive framework and identifies the range of factors that determine whether research-based and other forms of evidence are likely to be adopted by policymakers and practitioners. It concludes with suggestions for how researchers can maximise their chances of policy influence.

The research methodology and research approach in Chapter One provides good overview of how episode study was used to capture the impact of evidence to policy.

**Methodology Referred:** Episode Study  
**Type of Publication:** Book  
**Publisher:** ITDG Publishing, London, UK.  
**Not available on-line**

**Earl, S, Carden, S., and Smutylo, T. (2001). Outcome Mapping. Building Learning and Reflection into Development Programs.**

This brochure presents a short and concise step-by-step how-to-do-it of outcome mapping. It also includes description of how it was evolved, what it can be adapted for and how it should be used.

**Methodology Referred:** Outcome Mapping  
**Type of Publication:** Brochure  
**Publisher:** International Development Research Centre (IDRC), Ottawa  
**Available on-line at:** [http://web.idrc.ca/uploads/user-S/10945665201om\\_pamplet\\_final.ppt](http://web.idrc.ca/uploads/user-S/10945665201om_pamplet_final.ppt)

**IDRC-supported research in the public policy process: A strategic evaluation of the influence of research on public policy**

Influencing the policy process is increasingly important to the Centre in the research it supports as illustrated by the above quote from the Centre's strategic planning document. This working document outlines the design of a strategic evaluation of the influence of research on the public policy process. This central activity of the Evaluation Unit of the Centre in the period 2001-2003 is meant to develop as clear an understanding as possible not only of what we mean by the policy process but what we have accomplished thus far. This will inform thinking both at the project level – how to improve our project support to enhance policy influence opportunities and deepen our understanding of how ideas enter policy processes; and at the corporate level – what have we done as a corporation and what strategic adjustments do we need to make?

Work on the design of this study was initiated in January 2001. A series of staff interviews and preliminary searches of the literature were carried out in the first months of the year. This was followed by the development of several background research activities, all of which will be completed by October 2002. These include consultations with Centre staff and experts in the field, an in-depth literature review, use of external expertise, and research into the Centre's data.

Because of the varied nature of the Centre's work and the range of regions in which we work, the study will be comprised of a number of sub-studies which will be brought together to build a corporate picture of our work in this domain. A range of methodologies will necessarily be used. These are outlined following a discussion of the evaluation questions and the state of the art in this field as it relates to the Centre. A number of products will be produced in the course of this study. The data will be collected, discussed and analysed as far as possible in collaboration with the users; a number of methods will be used to ensure participation but to minimize impact on the burden of workload. Final products of the evaluation itself will start to appear in the Fall of 2002. A second stage of the study may be considered to look at issues in

the influence of the implementation of public policy on development processes, as these influences will be somewhat different from influences around policy development, formulation and adoption

**Methodology Referred:** Case Studies

**Type of Publication:** Internal Planning Document

**Publisher:** International Development Research Centre (IDRC), Ottawa

**Available on-line at:** [http://web.idrc.ca/en/ev-12180-201-1-DO\\_TOPIC.html](http://web.idrc.ca/en/ev-12180-201-1-DO_TOPIC.html)

**Park, D. 1998. A Proposal for Measuring the Benefits of Policy-Oriented Social Science Research. .**

This paper addresses the problem of how to measure the benefits of policy-oriented social science research. It argues that social science research promotes economic efficiency in three different ways—it fosters efficiency in the public sector both directly and through effects on the general public, and it increases the efficiency of the private sector. The paper also proposes a practical empirical methodology for measuring the benefits of policy-oriented social science research. The proposed methodology includes a three-stage analysis of a cross-section of countries. The relationship between research and policy is estimated first. Then an estimate is made of the relationship between policy and economic growth. Finally, these estimates are used to deduce the relationship between research and economic growth.

**Methodology Referred:** Project Case Study

**Type of Publication:** IFPRI Impact Assessment Discussion Paper No. 3.

**Publisher:** International Food Policy Research Institute, Washington DC., USA.

**Available on-line at:** <http://www.ifpri.org/impact/iadp03.pdf>

**Raij, H. 2004. Exchange of Outcome Mapping experience**

During a meeting in Ottawa in April 2004 a group of IDRC staff met to exchange experiences on the use of Outcome Mapping (OM) by IDRC partners in Latin America. This paper presents success story as well as difficulties in using Outcome Mapping for programme/project evaluation.

**Methodology Referred:** Outcome Mapping

**Type of Publication:** Paper

**Publisher:** International Development Research Centre (IDRC), Ottawa

**Available on-line at:** [http://web.idrc.ca/uploads/user-S/10922291551OM\\_experiences\\_lac.pdf](http://web.idrc.ca/uploads/user-S/10922291551OM_experiences_lac.pdf)

**Smith, V.H. 1998. Measuring the Benefits of Social Science Research.**

This paper addresses two questions. The first is “What are the benefits of social science research?”; the second is “How should they be measured?” The response to the first is that, as with research in the physical sciences, the benefits should be identified in terms of changes in economic surplus for different groups. It may be useful to use a framework that considers the incidence of the effects of social science research on firms, households, and government agencies. The response to the second question is that estimating returns to social science research using conventional econometric techniques may be particularly difficult. Instead, it may be necessary to resort to a case study approach, but care must be taken to ensure that the cases selected for study are genuinely representative.

**Methodology Referred:** Project Case Study

**Type of Document:** IFPRI Impact Assessment Discussion Paper No. 2

**Publisher:** International Food Policy Research Institute, Washington DC., USA.

**Available online at:** <http://www.ifpri.org/impact/iadp02.pdf>

**Solesbury, W. (2003) Sustainable Livelihoods: A Case Study of the Evolution of DFID Policy**

This paper is a case study of the influence of research on a particular shift in policy for the Department of International Development (DFID). In the 1997 White Paper on international development, DFID made the 'sustainable livelihoods approach' (or SLA), a core principle of its strategy for pro-poor policy making. The concept of SLA had first appeared in research literature in the 1980s, and its inclusion in the White Paper marked its transfer to the policy domain. This Working Paper offers a descriptive narrative of this progression, identifies major events in the story, and analyses this successful transfer from research to practice and policy through the framework of context, evidence and links.

**Methodology Referred:** Episode Study

**Type of Publication:** ODI Working Paper 217

**Publisher:** RAPID Programme, Overseas Development Institute, London, UK.

**Available On-line at:** [http://www.odi.org.uk/RAPID/Publications/RAPID\\_WP\\_217.htm](http://www.odi.org.uk/RAPID/Publications/RAPID_WP_217.htm)

**Start, D. and Hovland, I. 2004. Episode Studies. In: Tool for Policy Impact: A Handbook for Researchers.**

This handbook presents work-in-progress on tools for policy impact, specifically geared towards the needs of researchers. The tools are grouped under the headings Research Tools, Context Assessment Tools, Communication Tools, and Policy Influence Tools. Episode study can be found under research tool.

It provides direction of when to use Episode study, detailed outline of process, A good example where the tools had been used and where to look for further information.

**Methodology Referred:** Episode Study

**Type of Publication:** Book

**Publisher:** RAPID Programme, Overseas Development Institute, London, UK.

**Available on-line at:**

[http://www.odi.org.uk/RAPID/Publications/Documents/Tools\\_handbook\\_final\\_web.pdf](http://www.odi.org.uk/RAPID/Publications/Documents/Tools_handbook_final_web.pdf)

**Tellis, W. 1997, Application of a case study methodology**

In this paper (Tellis, 1997), presented and explained in detail the goals and objectives of using case study methodology. In this article, the methodology to accomplish those goals and objectives will be examined. The reader will become familiar with the specific techniques that are used in the current study, and supported by the literature that was reviewed in the previous article. That methodology will follow the recommendation of Yin (1994) and has four stages:

1. Design the case study,
2. Conduct the case study,
3. Analyze the case study evidence, and
4. Develop the conclusions, recommendations and implications.

The article begins with an introduction, that includes some of the background information that is intended to inform the reader. Following that section, each step of the methodology will be explored in detail. Finally a summary will connect all the information in a concise manner.

**Methodology Referred:** Project Case Study

**Type of Publication:** Journal article of *The Qualitative Report* [On-line serial], 3(3). [81 paragraphs].

**Publisher:** Nova Southeastern University, USA

**Available on-line at:** <http://www.nova.edu/ssss/QR/QR3-3/tellis2.html>

**Young, J., Kajume, J. and Wanyama, J. (2003) 'Animal Health Care in Kenya: The Road to Community-Based Animal Health Service Delivery',**

This Working Paper forms part of the Overseas Development Institute Bridging Research and Policy project which is seeking to learn more about linkages between development research, policy and practice and to develop simple tools for researchers and policy-makers to promote evidence-based international development policy.

This case study identifies the critical factors in the evolving livestock service policies in Kenya, and the relevance of evidence of their effectiveness.

This case study showed how episode study methodology was used to capture evidence-based policy

**Methodology Referred:** Episode Study

**Type of Publication:** ODI Working Paper 214

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