



**RAPID Programme**

- Research
  - Literature
  - GDN Case Studies
  - ODI Case Studies
- Advisory work
  - Projects
  - Organisations
- Workshops and Seminars
- Think Tank Programme

for further information see: [www.odi.org.uk/rapid](http://www.odi.org.uk/rapid)

**The linear logical model...**

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graph TD
  A[Identify the problem] --> B[Commission research]
  B --> C[Analyse the results]
  C --> D[Choose the best option]
  D --> E[Establish the policy]
  E --> F[Implement the policy]
  F --> G[Evaluation]
  
```

**...in reality...**

- “The whole life of policy is a chaos of purposes and accidents. It is not at all a matter of the rational implementation of the so-called decisions through selected strategies”<sup>1</sup>
- “Most policy research on African agriculture is irrelevant to agricultural and overall economic policy in Africa”<sup>2</sup>
- “Research is more often regarded as the opposite of action rather than a response to ignorance”<sup>3</sup>

<sup>1</sup> Clay & Schaffer (1984), Room for Manoeuvre: An Exploration of Public Policy in Agricultural and Rural Development, Heineman Educational Books, London.  
<sup>2</sup> Oimamo (2003), Policy Research on African Agriculture: Trends, Gaps, and Challenges, International Service for National Agricultural Research (ISNAR) Research Report No 21  
<sup>3</sup> Surr (2003), DFID Research Review

**Existing theory**

- ~~1. Linear model~~
2. Percolation model, Weiss
3. Tipping point model, Gladwell
4. 'Context, evidence, links' framework, ODI
5. Policy narratives, Roe
6. Systems model (NSI)
7. External forces, Lindquist
8. 'Room for manoeuvre', Clay & Schaffer
9. 'Street level bureaucrats', Lipsky
10. Policy as social experiments, Rondinelli
11. Policy Streams & Windows, Kingdon
12. Disjointed incrementalism, Lindquist
13. The 'tipping point', Gladwell
14. Crisis model, Kuhn
15. 'Framework of possible thought', Chomsky
16. Variables for Credibility, Beach
17. The source is as important as content, Gladwell
18. Linear model of communication, Shannon
19. Interactive model,
20. Simple and surprising stories, Communication Theory
21. Provide solutions, Marketing I
22. Find the right packaging, Marketing II
23. Elicit a response, Kotler
24. Translation of technology, Volkow
25. Epistemic communities
26. Policy communities
27. Advocacy coalitions etc, Pross
28. Negotiation through networks, Sebatier
29. Shadow networks, Klickert
30. Chains of accountability, Fine
31. Communication for social change, Rockefeller
32. Wheels and webs, Chapman & Fisher

**Existing theory – a short list**

- Policy narratives, Roe
- Systems of Innovation
- 'Room for manoeuvre'
- 'Street level bureaucrats'
- Policy as social experiments
- Policy streams and windows, Kingdon
- Disjointed Incrementalism
- Social Epidemics, Gladwell
- The RAPID Framework

**An Analytical Framework**

**External Influences** – Socio-economic and cultural influences, donor policies etc


**The political context** – political and economic structures and processes, culture, institutional pressures, incremental vs radical change etc.

**The links** between policy and research communities – networks, relationships, power, competing discourses, trust, knowledge etc.

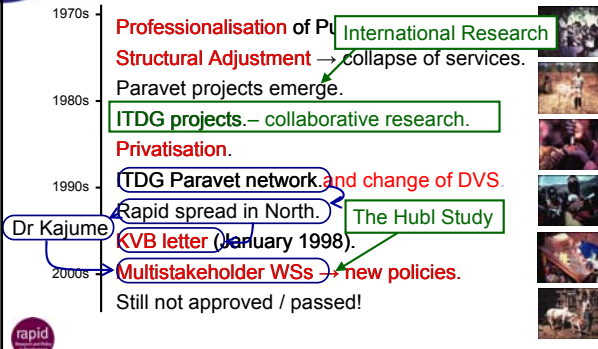
**The evidence** – credibility, the degree it challenges received wisdom, research approaches and methodology, simplicity of the message, how it is packaged etc

## Case Studies

- **Sustainable Livelihoods:** The Evolution of DFID Policy
- The **PRSP Initiative:** Research in Multilateral Policy Change
- The adoption of **Ethical Principles in Humanitarian Aid** post Rwanda
- **Animal Health Care in Kenya:** Evidence fails to influence Policy
- **50 GDN Case Studies:** Examples where evidence has or hasn't influenced policy



## Paravets in Kenya



1970s: Professionalisation of Paravets, International Research

1980s: Structural Adjustment → collapse of services. Paravet projects emerge. ITDG projects – collaborative research.

1990s: Privatisation. TDG Paravet network and change of DVS. Rapid spread in North. The Hubli Study

2000s: Dr Kajume (KVB letter January 1998). Multistakeholder WSs → new policies. Still not approved / passed!

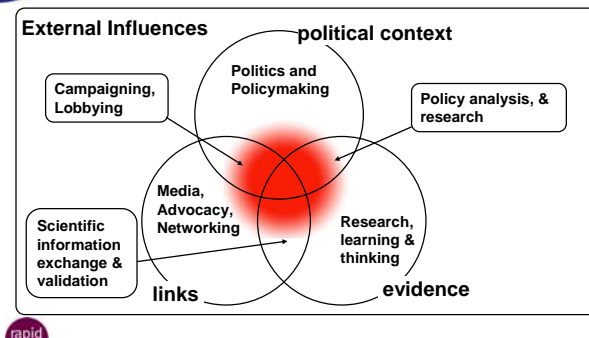
## Other models

1. **Ideal model** (Venn diagram: Context, Links, Evidence)
2. **Delay-chain model** (Venn diagram: Evidence, Links, Context)
3. **Islands model** (Venn diagram: Context, Links, Evidence)
4. **Tecmocratic model** (Venn diagram: Context, Links, Evidence)
5. **Ivery tower model** (Venn diagram: Context, Links, Evidence)

## Other models

- National Systems of Innovation (Hall)  
see: [http://www.idrc.ca/fr/rev-85054-201-1-DO\\_TOPIC.html](http://www.idrc.ca/fr/rev-85054-201-1-DO_TOPIC.html)
- Knowledge Economy (WB Knowledge for Development Programme)  
see: <http://web.worldbank.org/WBSITE/EXTERNAL/WBI/WBI/PROGRAMS/KFDLP/0,,menuPK:461238~pagePK:64156143~piPK:64154155~theSitePK:461198,00.html>
- Drivers of Change (DFID)  
see: [http://www.grc-exchange.org/g\\_themes/politicalsystems\\_drivers.html](http://www.grc-exchange.org/g_themes/politicalsystems_drivers.html)
- Spiral Dynamics (Don Beck)  
see: <http://wie.org/spiral/?fr=af>

## A Practical Framework



**External Influences:** Campaigning, Lobbying; Scientific information exchange & validation

**political context:** Politics and Policymaking; Policy analysis, & research

**evidence:** Research, learning & thinking

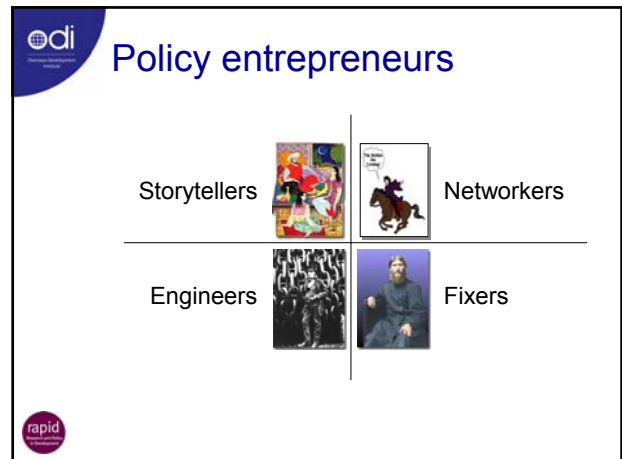
**links:** Media, Advocacy, Networking

## What you need to know

- **The external environment:** Who are the key actors? What is their agenda? How do they influence the political context?
- **The political context:** Is there political interest in change? Is there room for manoeuvre? How do they perceive the problem?
- **The evidence:** Is it there? Is it relevant? Is it practically useful? Are the concepts familiar or new? Does it need re-packaging?
- **Links:** Who are the key individuals? Are there existing networks to use? How best to transfer the information? The media? Campaigns?

## What researchers need to do

What researchers need to know	What researchers need to do	How to do it
<b>Political Context:</b> <ul style="list-style-type: none"> <li>Who are the policymakers?</li> <li>Is there demand for ideas?</li> <li>What is the policy process?</li> </ul>	<ul style="list-style-type: none"> <li>Get to know the policymakers.</li> <li>Identify friends and foes.</li> <li>Prepare for policy opportunities.</li> <li>Look out for policy windows.</li> </ul>	<ul style="list-style-type: none"> <li>Work with them – seek commissions</li> <li>Strategic opportunism – prepare for known events + resources for others</li> </ul>
<b>Evidence</b> <ul style="list-style-type: none"> <li>What is the current theory?</li> <li>What are the narratives?</li> <li>How divergent is it?</li> </ul>	<ul style="list-style-type: none"> <li>Establish credibility</li> <li>Provide practical solutions</li> <li>Establish legitimacy.</li> <li>Present clear options</li> <li>Use familiar narratives.</li> </ul>	<ul style="list-style-type: none"> <li>Build a reputation</li> <li>Action-research</li> <li>Pilot projects to generate legitimacy</li> <li>Good communication</li> </ul>
<b>Links</b> <ul style="list-style-type: none"> <li>Who are the stakeholders?</li> <li>What networks exist?</li> <li>Who are the connectors, mavens and salesmen?</li> </ul>	<ul style="list-style-type: none"> <li>Get to know the others</li> <li>Work through existing networks.</li> <li>Build coalitions.</li> <li>Build new policy networks.</li> </ul>	<ul style="list-style-type: none"> <li>Build partnerships.</li> <li>Identify key networkers, mavens and salesmen.</li> <li>Use informal contacts</li> </ul>



## Practical Tools

**Overarching Tools**

- The RAPID Framework
- Using the Framework
- The Entrepreneurship Questionnaire

**Communication Tools**

- Communications Strategy
- SWOT analysis
- Message Design
- Making use of the media

**Policy Influence Tools**

- Influence Mapping & Power Map
- Lobbying and Advocacy
- Campaigning: A Simple Guide
- Competency self-assessment

**Int Tools**

## Groundwater in India

- to maximise impact of DFID forest/ground water research project in India
- Researchers, policy makers and activists
- Used framework to analyse factors in water sector in India
- Developed strategy for final phase:
  - Less research
  - More communication
  - Developing champions in regional and national government
  - Local, Regional & National advocacy campaign

## SMEPOL Project Egypt

- An IDRC project to improve small and medium scale enterprise policy in Egypt
- Policy analysts & researchers
- Used a range of tools:
  - Policy Process Mapping
  - RAPID Framework
  - Stakeholder Analysis
  - Force-Field Analysis
  - SWOT
- To develop action plans for more evidence-based policy development

## DFID Policy Processes

- To explore how policies formed and promoted in DFID.
- Small, informal workshop:
  - 7 staff
  - Identified 8 recent policy initiatives
  - pair-wise ranking of success factors.
- Key factors in DFID:
  - Intellectual coherence & “evidence”
  - Congruence with White Papers
  - High-level support
  - Follow-up

## Exercise: using the RAPID Framework on CIDA policy issues

### Day 2

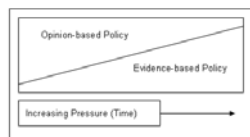
- EBP in the UK/DEFRA
- Groups: Policy in CIDA - the 5-Whys?
- EBP in Canada (CHSRF)
- *Lunch: The GDN Bridging Research and Policy Project*
- Groups: Policy in CIDA – Policy Mapping
- Next steps
- Evaluation

## Evidence-based Policy in the UK

John Young

### What is it?

- From medical research → practice
- New Labour “Modern Government” 1997
- *“putting the best available evidence from research at the heart of policy development and implementation”<sup>1</sup>.*

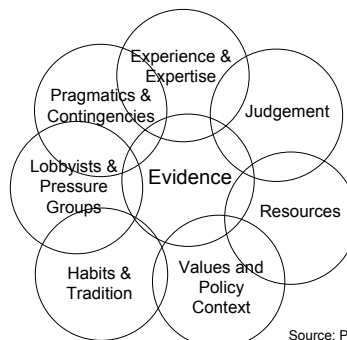


<sup>1</sup> Phil Davies Is evidence-based government possible? Jerry Lee Lecture, 4<sup>th</sup> Annual Campbell Colloquium, Washington DC 2004

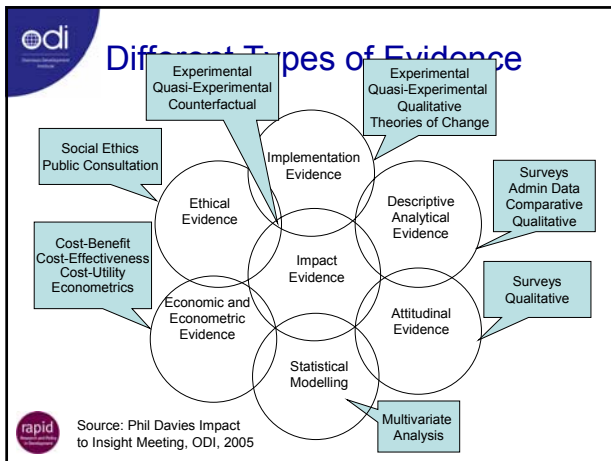
### Why?

- **Effectiveness** - ensure we do more good than harm
- **Efficiency** - use scarce public resources to maximum effect
- **Service Orientation** - meet citizen's needs/expectations
- **Accountability** - transparency of what is done and why
- **Democracy** - enhance the democratic process
- **Trust** - help ensure/restore trust in government and public services

### Factors influencing policy making



Source: Phil Davies Impact to Insight Meeting, ODI, 2005



- ## Different Approaches
- Increasing the pull for evidence
    - Require the publication of the evidence base
    - Require spending bids to provide evidence base
    - Submit government analysis to external expert scrutiny
    - Provide open access to information
  - Facilitating better evidence use
    - Encourage better collaboration across analytical services
    - Co-locate policy makers and internal analysts
    - Integrate analytical staff at all stages
    - Link R&D strategies to departmental business plans
    - Cast external researchers more as partners than as contractors
    - Second more university staff into government
    - Train staff in evidence use
- Source: Abstracted from PIU 2000, Bullock et al (2001)

- ## UK Government “Tools”
- Overview and Checklist**
1. Impact Assessment and Appraisal
  2. Strategy Survival Guide
  3. Magenta Book: Guidance notes
  4. Green Book: Appraisal and evaluation
  5. Regulatory Impact Assessment
- Ensuring Key Perspectives are met**
6. Incorporating regional perspectives
  7. International Comparisons in Policy
  8. Gender Impact Assessment: a guide
  9. Managing risks to the public: A guide
- Testing Policy Ideas**
10. Policy Pilots
- Public-orientated Tools**
11. Concern Assessment Tool
  12. Community Engagement How to Guide
  13. Connecting with Users and Citizens
- Getting Better Advice and Evidence**
14. Expert Advisory Bodies for Policy
  15. Improving Standards of Qualitative Research
- 

- ## Regulatory Impact Assessment
- Aims to improve evidence and advice
  - Must be completed before changes
  - Process:
    - Purpose / intended outcomes
    - Policy problem
    - Options & evidence
    - Impact & evidence
    - Results of consultation
  - Published
- More at: [http://www.cabinetoffice.gov.uk/regulation/ria/ria\\_guidance/index.asp](http://www.cabinetoffice.gov.uk/regulation/ria/ria_guidance/index.asp)
- 

- ## Assessing Research Quality
- A framework developed by the Cabinet Office / National Centre for Social Research
  - Based on review of 29 existing frameworks (esp from medical/health)
  - Four principles. Research should be:
    - contributory;
    - defensible in design;
    - rigorous in conduct;
    - credible in claim.
  - 18 Questions, with criteria
  - Recognises need for:
    - Policymakers to have necessary expertise
    - New approaches to research

- ## Assessing Research Quality
1. How credible are the findings?
  2. How has knowledge or understanding been advanced?
  3. How well does the evaluation address the policy problem?
  4. How well is the scope for the evaluation defined?
  5. How clear is the basis of evidence?
  6. How defensible is the research design?
  7. How well defended are the cases/documents?
  8. How well is the eventual sample defined?
  9. How well was the data collected?
  10. How well has the approach been justified?
  11. How well are the contexts defined?
  12. How well has diversity of perspectives been included?
  13. How well has detail, depth and rigour been demonstrated?
  14. How clear are the links between the data and the conclusions? How well can the route to a conclusion be traced?
  15. How clear and coherent is the analysis?
  16. How clear are the assumptions that shaped the form and output of the analysis?
  17. What evidence is there of the quality of the analysis?
  18. How adequately has the research been evaluated?
- More at: [http://www.policyhub.gov.uk/evaluating\\_policy/qual\\_eval.asp](http://www.policyhub.gov.uk/evaluating_policy/qual_eval.asp)
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# Evidence-based Policy in DEFRA

Louise Shaxson

## Drivers of change

- Increasing emphasis on the quality of evidence and its use (Modernising Government);
- To underpin & inform strategy, policy, regulatory work, foresight; and to mitigate risk;
- Importance of challenge to evidence (BSE inquiry, Science Advisory Committees)
- Depth and breadth of future evidence needs will increase given complex and overlapping strategic priorities

## Evidence for policy is...

- *...any robust information that helps to turn a Department's strategic priorities & other objectives into something concrete, manageable and achievable.*
  - evidence as data
  - analytical evidence
  - evidence of stakeholder opinions
  - is 'good science' the same as 'good evidence for policy'?

## Why do we need evidence & analysis?

To:

- **Confirm** what we think we know
- **Enrich** our understanding
- **Explain** complex issues
- **Challenge** received wisdom
- **Scope** opportunities for change

## Components of robust evidence & analysis (supply side)

- Is the evidence **credible**?
- Can we make **generalisations** from it?
- Is it **reliable** enough for M&E or impact assessments?
- Is it **objective**? How do we account for bias?
- Is it **rooted** in an understanding of the framing assumptions?

## Components of robust evidence & analysis (demand side)

- Is the evidence **policy relevant**?
- Is it **timely**? Has it been delivered fast enough to inform policy decisions?
- Is it **accessible** to all key stakeholders, not just researchers?
- Is the evidence **cost-effective**?
- Is it **interdisciplinary** enough to address cross-cutting issues?

**Evidence-based policy making is not a sacred cow:**

There are policies that:

Use good information... → ...and use it well...

Use poor information... → ...and use it poorly...

**Analysis & evidence for policy**

*Longer-term policy and strategy development*

Procuring, managing and carrying out research to provide new evidence

Interpreting & applying new or existing evidence, monitoring & evaluating the policy once implemented

Scoping the issue, asking the question, deciding what sort of evidence is needed

*Evidence and analysis needed rapidly to answer pressing policy questions*

**EBPM in practice**

- **Defra's Evidence & Innovation Strategy:**
- Putting policy in the lead;
- Developing a clear 'line of sight' between policy priorities and evidence provision;
- Constructing lines of argument with stakeholders (how to keep them current?);
- Analysing in relation to the policy cycle - policy mapping tool;
- Being very clear that 'good science' is not the same as good evidence for policy.

**EBPM in practice – 'five whys'**

*Constructing a line of argument against which to assess policy's needs for evidence & analysis:*

- Why is this issue important?
- Why are things changing, for better or for worse?
- Why does Government need to intervene?
- Why do we need a policy on this issue?
- What evidence do we need to develop policy?

**Exercise: Evidence-Based Policy Mapping in Practice**

**Evidence-based Policy in Canada**  
CHSRF

## The GDN Bridging Research and Policy Project

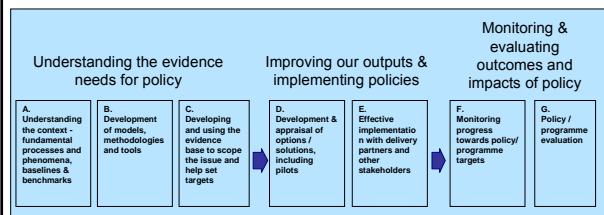
## The Policy Mapping Tool

### EBPM in practice: the policy mapping tool

- Given the line of argument about why we need evidence & analysis for this policy issue:
- What evidence & analysis already exists and can be used immediately?
- What evidence & analysis exists but needs to be synthesised or redirected towards this particular issue?
- What new evidence & analysis do we need to gather?

### EBPM in practice: the policy mapping tool

Map against different policy processes to see where we are in the 'policy cycle' (NB this isn't the perfect cycle!)



## Exercise: Applying the Policy Mapping Tool to CIDA Policy Issues

### Selected Reading

- Bridging Research and Policy in International Development. ODI PP 2004
- How to use the RAPID Context, Evidence and Links Framework.
- An Introduction to the Toolkit for Progressive Policymakers in Developing Countries
- Evidence-based policy at the Cabinet Office, Phil Davies 2005
- Improving the Evidence for Policy Making. DEFRA, UK, 2006.
- Ensuring evidence is robust: questions for policy-makers and practitioners, Louise Shaxson (2006)
- Part 1 of the DEFRA Consultation for its Evidence and Innovation Strategy 2005–08
- Extract from Part 2 of the DEFRA Consultation: Strategic Outcome 5.
- Understanding Risk in Everyday Policy-Making, Dr Kevin Edson Jones, DEFRA September 2005

## Further Information

- ODI Working Papers
- Bridging Research and Policy Book
- Meeting series Monograph
- Tools for Policy Impact
- RAPID Briefing Paper
- RAPID CDROM
- [www.odi.org.uk/rapid](http://www.odi.org.uk/rapid)

