



Better Policies Better Lives

Turning Quality Research into Effective Policy

A Good Practice Toolkit for Policy Research Institutes

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1. Introduction

The Knowledge Sector Initiative (KSI) is a partnership between the governments of Indonesia and Australia. It was funded by the [Department of Foreign Affairs and Trade \(DFAT\)](#) between 2013 and 2022 and implemented in cooperation with the [National Development Planning Agency \(Bappenas\)](#).

KSI supported Indonesian policymakers to develop more effective development policies through better use of research, data, and analysis. The Program worked with policy research institutes (PRIs) to strengthen the quality and policy relevance of research and how it is used for policymaking. KSI also supported partners to improve regulations and practices that support quality research and make using evidence in policymaking easier.

Policy research institutes (PRIs) generate public policy research, analysis, advocacy, and other activities to inform public policymaking. They produce research reports, journals, policy briefs, and blogposts. Sometimes, they may also help governments with outputs that help implementation, such as policy manuals, assisting with the drafting of regulations, and so forth. PRIs can be not-for-profit, attached to universities, or private foundations. They are often independent of government, although they may receive grants from governments. PRIs bring new issues and perspectives to the policymaking process. They engage policymakers and other stakeholders with the evidence, which helps to improve the quality of policymaking and decision making.

Effective PRIs are key players in evidence-informed policymaking and reforming the knowledge sector in Indonesia. They are policy actors, contributing to and influencing policy in their respective sectors of interest. PRIs directly contribute to policy changes in their individual areas of focus, and often engage in addressing underlying enablers that hamper Indonesia's knowledge sector. Through their research, networks and advocacy engagement, their influence has several functions, such as informing the policy agenda, seeking support for policy alternatives, analysing policies, and creating spaces for policy debate.

2. Purpose

This good practice toolkit outlines key processes that were effective during KSI in helping PRIs focus on becoming more effective players in evidence-informed policy. The document outlines those processes that helped PRIs improve the quality, uptake, and use of their research. These processes are not one-off actions. To be effective, PRIs need to continuously improve their practices and remain abreast of the social and political context in which they work.

The primary intended users of this document are PRIs or organisations that support PRIs. The focus is on continually improving PRIs' capacity to effectively influence policymaking processes and decisions.

3. Guiding principles

Below are several overarching guiding principles that should inform the evidence-making practice of PRIs.¹

Design solutions for real-world problems.² Unlike traditional academic research which focuses on new knowledge, policy advice must address real-world development problems and provide recommendations that policymakers can use.

¹ Several of these guiding principles have been drawn from: KSI. (2018). *Guidance Note for Supporting BAPPENAS RPJMN Background Studies*.

² Hovland, I. (2005) *Successful Communication – A Toolkit for Researchers and Civil Society Organisations*.

Research must be based on a strong understanding of the development problem, its causes, its impact on people and development, and the history of policy interventions and their success or otherwise. Policy recommendations must be realistic, properly costed, value for money, multi-sectoral, and grounded in a deep understanding of the social and political context.

A **broad “evidence base”** is important.³ Effective policy decisions will be based on a broad evidence base – research, statistical data, evaluations, evidence from stakeholders, analyses, and so forth.⁴ PRIs can be more effective when their policy research work is itself based on a broad evidence base to include quality research design informed by a problem analysis, contextual analysis and other relevant evidence-based studies; quality research processes; input from stakeholders; analysis based on robust evidence; and effective engagement with potential users to help them understand the findings.

Gender equality, disability, and social inclusion (GEDSI) is a crucial, cross-cutting perspective in all research. Diverse teams and sources of knowledge produce stronger outcomes. Likewise, policy research that incorporates a wide range of viewpoints (including by women, people with disabilities, and marginal groups) has a better chance of being adopted. It is important to consider different perspectives and to consider how the policy issue affects different groups in different ways (for example, women and girls, people with disability, various ethno-cultural or social groups, poor people, and other marginalised groups). Attention to gender balance, disability and social inclusion in all research processes is critical to understanding the knowledge itself and how it is used for policy purposes.⁵

Engage closely with policymakers throughout the process, from identifying the development/policy problem, developing outcomes and scope of the research, undertaking the research itself, discussing preliminary findings and developing recommendations for policy and practice.

Monitor and evaluate. It is important to monitor and evaluate (M&E) the quality of policy research and the research process as well as the uptake and use of the findings. M&E is important to PRIs to help them continuously improve their processes and outputs and to see if their work is making a difference to public policy, public services and to the quality of policy debate. By continuously improving practice and processes and being able to show that their work is effective, PRIs can strengthen their reputation. Similarly, funding bodies want to know that policy research in which they invest is taken-up and used and that the desired outcomes are achieved.

4. An active role in influencing policy and practice

PRIs are not passive players in the policymaking process. To be effective, PRIs must do more than deliver quality research. They need to be active players. They need to understand and work within the political context. They need to know what evidence is required and how they might deliver it. They need to know the relevant stakeholders, networks, and external interests and how to work with them.

4.1. What to know, what to do, and how to do it

To be effective players in evidence-based policymaking, **Table 1** outlines what researchers need to know, what to do and how to do it.

³ Shaxson, L. (2016). *Lessons for Building and Managing an Evidence Base for Policy*. KSI Working Paper no 10. KSI.

⁴ Wills, A., Tshangela, M., Shaxson, L., Datta, A., and Matomela, B. (2018). *Guidelines and good practices for evidence-informed policymaking in a government department*. ODI.

⁵ <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC5084413/>

TABLE 1: HOW TO INFLUENCE POLICY AND PRACTICE⁶

What researchers need to know	What researcher need to do	How to do it
<p>Political Context:</p> <ul style="list-style-type: none"> Who are the policymakers? Are there policymaker demands for new ideas? What are the sources/strengths of resistance? What is the policymaking process? What are the opportunities and timing for input into formal processes? 	<ul style="list-style-type: none"> Get to know the policymakers, their agendas, and their constraints Identify potential supporters and opponents Keep an eye on the horizon and prepare for opportunities in regular policy processes Look out for – and react to – unexpected policy windows 	<ul style="list-style-type: none"> Work with the policymakers Seek grant funding Line up research programs with high-profile policy events Reserve resources to be able to respond to policy windows Allow sufficient time and resources
<p>Evidence:</p> <ul style="list-style-type: none"> What is the current theory? What are the prevailing narratives? How divergent is the new evidence? What sort of evidence will convince policymakers? 	<ul style="list-style-type: none"> Establish credibility over the long term Provide practical solutions to problems Establish legitimacy Build a convincing case and present clear policy options Package new ideas in familiar theory or narratives Communicate effectively 	<ul style="list-style-type: none"> Build up programs of high-quality work Action-research and Pilot projects to demonstrate benefits of new approaches Use participatory approaches to help with legitimacy and implementation Clear strategy for communication from the start Face-to-face communication
<p>Links:</p> <ul style="list-style-type: none"> Who are the key stakeholders? What links and networks exist between them? Who are the intermediaries, and do they have influence? Whose side are they on? 	<ul style="list-style-type: none"> Get to know the other stakeholders Establish a presence in existing networks Build coalitions with like-minded stakeholders Build new policy networks 	<ul style="list-style-type: none"> Partnerships between researchers, policymakers, and policy users identify key networkers and advocates Use informal contacts
<p>External influences:</p> <ul style="list-style-type: none"> Who are the main external actors in the policy process? What influence do they have? What are their investment priorities? What are their research priorities and mechanisms? What are the policies of those that fund the research? 	<ul style="list-style-type: none"> Get to know potential funders and investors, their priorities and constraints Identify potential supporters, key individuals, and networks Keep an eye on funder and investor policy and look out for policy windows 	<ul style="list-style-type: none"> Develop extensive background on funder and investor policies Orient communications to suit funder and investor priorities and language Cooperate with funders and investors and seek grants and partnerships Contact (regularly) key individuals

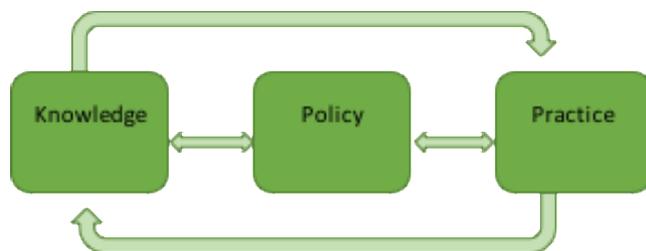
4.2. Engaging with the knowledge-to-policy-to-practice cycle

Knowledge and policy do not have a linear relationship. While evidence-based policy relies on robust evidence, policy can also inform knowledge. Similarly, evidence-based practice relies on a dynamic

⁶ Adapted from: Start, D. and Hovland, I. (2004). *Tools for Policy Impact: A Handbook for Researchers*. ODI. pg. 8.

interface with knowledge to policy to practice (K2P2P) which is two-way rather than linear, as illustrated in **Diagram 1**.

Figure 1: KNOWLEDGE-TO-POLICY-PRACTICE ⁷

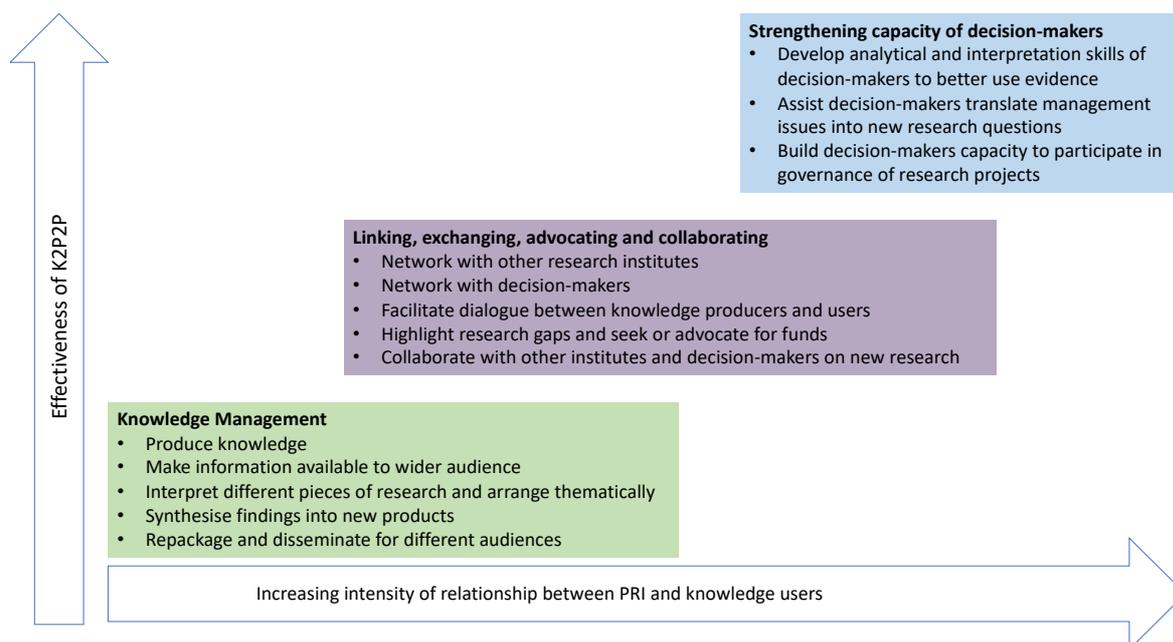


This diagram illustrates the dynamic nature of the policy process. Policy encompasses activities and actions that allow adoption and implementation⁸ and, when effective, is informed by feedback loops.⁹ PRIs may have a legitimate role in providing evidence at any stage of this dynamic process.

4.3. K2P2P roles that PRIs may fill

PRIs can play different roles in linking knowledge to the policy process. **Diagram 2** illustrates three broad roles or functions:

Figure 2: K2P2P ROLES ¹⁰



1. **Knowledge management** – the production, interpretation, and dissemination of knowledge to a range of audiences in formats to meet their information needs.

⁷ Hind, J. and Rahim, D. (2017). *Outcomes Evaluation of the ACDP*. ACDP, Agency for Research and Development (BALITBANG), Ministry of Education and Culture, Indonesia. pg. 33.

⁸ Jones, H. (2009). *Policy-making as discourse: a review of recent knowledge-to-policy literature*. ODI.

⁹ ODI. (2016). *Doing Development Differently – who we are, what we’re doing, what we’re learning*.

¹⁰ Adapted from Euan Hind, in Hind, J. et al. (2013). *Final Report – Independent review of supply side organisations and government intermediaries pilot*. vol. 1, pg. 11. Evolving Ways.

2. **Linking, exchanging, advocating, and collaborating** – networking, linking, and collaborating with knowledge users and with other knowledge producers to promote new knowledge, open up dialogue space, expand interactions between knowledge producers and users, and building partnerships to address multi-factored problems.
3. **Strengthening capacity of decision makers** – helping decision-makers strengthen skills in analysing and using evidence, identifying research needs, and overseeing research projects.

Relationships are at the core of linking knowledge to policy and practice. Uptake and use of research are enabled by factors such as trust, relationships, and networks between knowledge producers and users.¹¹ Each of the three roles in Diagram 2 requires PRIs to build positive relationships with knowledge users. As the role becomes more comprehensive (roles 2 and 3), the more effective is the K2P2P.

Which role a PRI fulfils will depend on any given situation. In some situations, a PRI may take on all three roles but in other situations they may only need to play some of the roles. PRIs are encouraged to develop skills in all three roles and to actively cultivate strong relationships with knowledge users.

5. Quality policy research

Policy research cannot be judged solely on published outputs. PRIs need “quality assurance measures that address not just their outputs, but their research process, organisational strengths and strategies, engagement with stakeholders, and the accessibility and relevance of their findings to end users.”¹²

PRIs are encouraged to implement the following six key quality practices.

5.1. Basing the research on evidence

Effective policy research begins with a problem analysis that clearly articulates the policy issue, its causes, its impacts on people, and the types and success of any interventions that have already been tried. Key inputs to the problem analysis are an extensive literature review of the policy issue and consultations with policymakers and relevant stakeholder groups.

The aim of a problem analysis is to better understand the factors that contribute to the policy problem. Having undertaken this thinking, the PRI will be better able to scope the rationale, focus and extent of the research, pose the research question(s), and to determine the best methodology.

To help sharpen the scope and focus of the research, a good practice it to develop a program logic, as outlined in [Tool 1](#) and ‘test’ this logic with an external specialist or experienced internal senior researcher. This process helps the research team to identify any gaps in their proposed methodology and research process and in their assumptions in how the findings might be taken-up and used.

5.2. Linking research and policy through positive engagement

The problem analysis, research process and assumptions about uptake and use can be further sharpened by stakeholder mapping, using [Tool 2](#).

This process helps PRIs to better understand the relationships between different people and groups and how they are likely to behave when faced with the possibility of change.

¹¹ Georgalakis, J., Jessani, N., Oronje, R. and Ramalingam, B. (2017) *Introduction: The social realities of knowledge for development*. IDS.

¹² Think Tank Initiative Insights. *Research quality for policy engagement*. pg.1. <https://idl-bnc-idrc.dspacedirect.org/bitstream/handle/10625/57876/IDL-57876.pdf?sequence=2&isAllowed=y>

Stakeholder mapping helps PRIs know with whom they must engage to achieve the outcomes they want for their research. This, in turn, helps PRIs better plan how to improve the chances of their research being relevant and useful and subsequently taken up and used by decisionmakers.

5.3. Being responsive to gender, disability, and social inclusion (GEDSI)

More inclusive public policies are essential if Indonesia is to achieve its poverty reduction targets and achieve sustainable economic growth.¹³ PRIs are encouraged to integrate GEDSI principles and practices in their research and policy dialogue – and not to view GEDSI as something separate from their regular research. Mainstreaming GEDSI into all policy research will help PRIs produce GEDSI-sensitive policy options. Good practice will include:

Identifying and addressing GEDSI issues at each stage of the research project

At the design stage, the literature review, the research questions, the approach, methodology, and analytic framework will consider relevant GEDSI issues. It will be apparent in the research design that GEDSI has been included.

At the implementation stage, marginalised and vulnerable groups will be involved as respondents and as part of the research team, and data collection will enable GEDSI questions to be answered.

At the analysis stage, data will be disaggregated, a GEDSI lens will be placed on the analysis, findings will be GEDSI-sensitive, and policy options will seek to address any GEDSI issues.

Building in GEDSI to peer review - Peer review of the research design and the research report will include attention to GEDSI issues. The peer reviewer will identify any GEDSI gaps and propose how these can be rectified.

Involving marginalised groups

PRIs should actively involve marginalised groups throughout the research process. Involving them:

- **at the concept and design stage** can help to sharpen the problem analysis, the focus and scope of the research project. It can also result in improvements to methodology.
- **during the research** can help uncover valuable knowledge of how policies impact on the lives of marginalised and vulnerable people.
- **at the analysis and reporting stage** can help PRIs identify gaps in the analysis and to develop more feasible policy options. It can also help to identify more accessible ways to present and disseminate findings.
- **in the policy dialogue stage** can help guide how a policy is shaped and implemented.

Adapting approaches and methodologies

PRIs may need to adapt their approaches and methodologies. It is important to be aware of and challenge researchers' assumptions and attitudes. Marginalised and vulnerable people are affected by the same policies that affect other citizens. It is important therefore to mainstream GEDSI into policy research and not always seek to undertake 'special' research.

¹³ KSI. (2022). *Gender Equality, Disability and Social Inclusion in Practice – Research and Advocacy Experience of Knowledge Sector Initiative Partners*.

Collaborating with GEDSI groups as co-designers will help achieve stronger GEDSI-sensitive approaches and methodologies, as well as reducing the bias in research outcomes. Inclusion of disaggregated data and analysing data through a GEDSI lens are also important.

For more detailed information PRIs are referred to KSI's recent publication *Gender Equality, Disability and Social Inclusion in Practice*. Drawn from the experiences of PRIs, this publication provides lessons learned by PRIs and tips on how to improve GEDSI-sensitive research practice. The publication can be accessed here: <https://www.ksi-indonesia.org/assets/uploads/original/2022/03/ksi-1646708612.pdf>

5.4. Applying rigour to the policy research design

Quality policy research has a rigorous research design at its foundation. This is an important part of quality control and involves:

- Stating clearly the rationale, objective, research questions and the policy relevance
- Choosing methodologies that are appropriate to meeting the stated research questions
- Following the technical 'rules' associated with any methodology
- Being thorough, accurate, and remaining within the boundaries of the scope, focus and available budget of the research
- Ensuring appropriately qualified and skilled personnel undertake the research
- Ensuring rigour is built into each step of the research process

The research design should be clearly written in a research plan or proposal, an example of which can found as [Tool 3](#).

Once the research plan is written, it is important to have it peer reviewed. This is a process in which qualified professionals review the plan in terms of its rigour. The peer review helps to maintain quality standards and to improve performance.

A peer review is best done by three external professionals. One should be a professional qualified in policy research methods, one should have extensive knowledge about the sector in which the policy research sits, and one should be able to provide a GEDSI perspective. Where an external research methods professional is not available, a senior researcher from within the PRI may conduct the peer review, but they must not be on the research team so that they are able to provide a degree of independence.

A typical peer review of the research design would consider, comment, and suggest changes in relation to the questions outlined in [Tool 4](#). Following the peer review, the PRI should make the improvements to the research design as suggested by the peer reviewers.

5.5. Applying analytic rigour to the findings and report

Rigour also needs to be applied to the findings and the research report. It is proposed that PRIs implement three types of quality assurance for this stage of the research cycle.

Internal quality assurance

A senior researcher should provide technical guidance and support to the research team as they draw their conclusions and determine the findings. The purpose is to challenge the team to reflect on how robust their evidence is and the degree to which it has informed their findings. To assist this reflection, PRIs are recommended to use [Tool 5](#), which asks questions about the robustness of the evidence.

External peer review

PRIs should engage external peer reviewers to consider the robustness of their findings and preliminary report. Again, it is best to use three reviewers – one with research expertise, one with extensive knowledge of the sector, and one able to provide a GEDSI perspective.

A typical peer review of the findings and preliminary report would consider, comment, and suggest changes in relation to the questions in [Tool 6](#).

The PRI should then make the improvements to the analysis, findings, and report as suggested by the peer reviewers.

NOTE: In some instances, instead of or in addition to the formal research report, the PRI might prepare other research outputs such as policy briefs, PowerPoint presentations, workshops. Good practice would also apply a peer review to these alternative outputs.

Perspective of the intended primary users

Policymakers need to be sure that the research they are relying on to make policy decisions is credible, evidence-based, and robust. An important part of the evidence-based policy research process is to ‘road-test’ the findings and proposed recommendations with the primary intended users. PRIs could do this in a variety of ways such as a PowerPoint presentation, policy dialogue, informal meeting, and so forth.

This process allows the PRI to ensure that they have not misinterpreted data, have correctly understood the socio-political context, and have proposed policy options that are feasible. This process is to improve the accuracy of analysis and the usefulness of the options. The process should not result in the PRI changing its findings, unless the intended user demonstrates that the PRI has misinterpreted data or failed to consider key data and therefore has reached inaccurate conclusions.

In terms of policy options, this process can help the PRI test whether they are realistic in the given political economy. It can also identify options that had not been considered.

6. Undertaking effective monitoring and evaluation (M&E)

6.1. Why monitor and evaluate policy research?

There are three main reasons to monitor and evaluate policy research projects.

- i. To assess the degree to which policy research work is taken up and used by decision-makers. This allows PRIs to understand how successful they are in influencing policy. This in turn, provides them with the necessary reputational information needed to secure new research commissions.
- ii. To learn where and how policy research processes and practices can be strengthened. This allows PRIs to implement continuous improvement, thus raising the quality of their policy research. This in turn, can lead to enhanced reputation.
- iii. To be accountable to those funding the policy research. This allows PRIs to meet the reporting needs of their funding bodies. This in turn, may provide them with repeat business or positive references they can use when applying for research grants elsewhere.

6.2 Developing a M&E plan

Effective M&E begins with a plan. The plan draws on the information from the program logic and identifies what will be monitored and the data that needs to be collected. It also identifies what parts of the PRI’s research project is to be evaluated and how.

Tool 7 is a generic M&E plan template that can be used by PRIs no matter what their research project is about. The tool is already populated with questions, success measures, and data collection methods. PRIs need only input the specific outcomes they hope to achieve. Doing this will help them to remain focused on these when gathering monitoring data.

6.3. Collecting, storing, and analysing monitoring data

PRIs are expert in collecting, storing, and analysing different types of data related to their studies. It is recommended that PRIs draw on this expertise when collecting, storing, and analysing data needed for monitoring and evaluating their policy research processes and outcomes.

The M&E plan (Tool 7) suggests the use of several data collection methods, most of which will be familiar to PRIs. Once collected, data should be stored in a way that allows the PRI to easily retrieve and analyse it. Some data will need to be collected and analysed during the policy research project to improve the research processes. Some will need to be collected and analysed on an ongoing basis to enable the PRI to monitor the uptake and use of the policy research findings and options. **Table 2** and **Table 3** list the suggested data methods and when to use them.

TABLE 2: M&E DATA TO COLLECT AND ANALYSE DURING THE POLICY RESEARCH PROJECT

During the policy research project	
Tool	Purpose
Peer review of the research design – Tool 4	To quality assure the research design and make improvements where needed
Peer review of the analysis and report – Tool 6	To quality assure the findings and report and make improvements where needed
Participant List – PRI to use own format	To record participants at meetings, events, presentations, etc. as evidence of stakeholder engagement. Any person-related data should be collected gender-disaggregated and, where possible, also record if any were persons with disabilities.
File Note – Tool 9	To record who attended, participants’ comments, decisions taken, observations made, issues – as evidence of stakeholder engagement, uptake of PRI work, lessons
Stakeholder Reflection Tool – Tool 2 (part B)	To assess how well the PRI engaged the right stakeholders
Quality Rubric – Tool 11	To assess, from the perspective of the intended user, the quality of the policy research, findings, and options

TABLE 3: M&E DATA TO COLLECT AND ANALYSE ONGOING BEYOND THE POLICY RESEARCH PROJECT

Ongoing beyond the policy research project		
Tool	Purpose	How
Impact Log – Tool 8	To track and record anecdotal information, informal and formal feedback, as evidence of stakeholders’ changed understanding, attitudes, GEDSI	Research team leader maintains a single impact log to which all team members input.

Ongoing beyond the policy research project		
Tool	Purpose	How
Comparison of policy documents (programs, budgets, regulations, legislation, etc.)	To track and record the changes in relevant policy documents and identify where PRI evidence is being used.	PRI identifies the relevant policy documents and then systematically tracks them, keeping a spreadsheet of the changes that have been influenced by the PRI's work with either a link to or a copy of the changes as evidence of influence PRIs may also set up periodic meetings with key stakeholders to discuss how policy documents are changing and the influencing factors
Media Tracking	To track and monitor regular and social media as evidence of PRI evidence being used	PRI may use a media tracking service Web analytics; Google analytics

7. Reporting

Reporting M&E results is an important part of the process. The PRI will need to report to more senior people in the organisation about the quality of its processes and the results of its work (both the immediate results and those that take time to achieve). The PRI will also need to report to funding bodies about its activities, its progress and achievements, expenditure, key findings and the uptake and use of its work.

To complete these reports, the PRI will collate and analyse the various data gathered through the implementation of the M&E plan, drawing conclusions about its performance. To substantiate its conclusions, the PRI will need to provide specific examples of the evidence. For example:

- To report on the work is of quality, the PRI will need to do more than state that the research design and the analysis and report were peer reviewed. It will need to indicate who did the peer review, their assessment and what changes the PRI made in response to those assessments. It should also gain the perspective of the intended users about the timeliness, relevance and usefulness of the findings and policy options.
- To report that stakeholders have an increased knowledge and understanding of the policy issue because of the policy research, the PRI will need to gather evidence to substantiate the claim. Evidence may come from interviewing a sample of key stakeholders and using their quotes. It may come from recording the comments key stakeholders make in a meeting. It may come from providing a link to a media article in which a key stakeholder mentioned the PRI's work and what difference this made to their understanding.
- To report on how a PRI's work has contributed to a significant policy change, the PRI will need to show where and how the policy has changed and to explain how the PRI contributed to this. This might include documenting the actual changes in a policy document and showing how the wording is linked to the findings of the PRI policy research. Given that significant policy changes may take time, it is important for the PRI to track and monitor relevant policies over a longer period and to find the evidence that links changes to their work.

Tool 1: Program Logic

What is program logic?

Program logic is a diagram illustrating how you understand a project or program will contribute to outcomes. This is called the program theory. It tells the story of how processes affect change. It is the process journey and the assumptions made about that journey of change. It can also include other factors that contribute to the outcomes, such as context and other projects and programs.

Because it looks at the process journey and clarifies assumptions, it is an important planning tool to help design a project or program. Because it identifies the various components and factors, it is also a valuable monitoring tool.

Why map the logic of a research project?

Policy research aims to contribute to evidence-based policies that seek to make a difference in the lives of people or to improve our society. Research may be ignored for several reasons but is more likely to be taken-up and used if the research meets the needs of policymakers, fits within a relevant political and social context, is both informed by and delivers findings based on credible evidence, and findings are communicated in effective ways.¹⁴

The use of program logic can help clarify research goals and the pathway to outcomes and impact. It can help align the research to broader national (or sub-national) challenges. It can also help to determine how and with whom to communicate the goals and the findings. These benefits can improve the likelihood of uptake and use.¹⁵

Mapping the program logic of the policy research will also clarify what you need to monitor to assess the quality of your activities, whether the processes you have put in place are working or need to be adjusted, and whether the outcomes are being met or likely to be met.

What does a program logic diagram look like?

A program logic model can be illustrated in many ways. In this toolkit, we use a series of boxes: Inputs – Activities – Immediate Outcomes – Intermediate Outcomes – Longer-term Outcomes. We arrange them in a vertical hierarchy with the inputs at the bottom and the longer-term outcome at the top, as illustrated in [Diagram 3](#).¹⁶

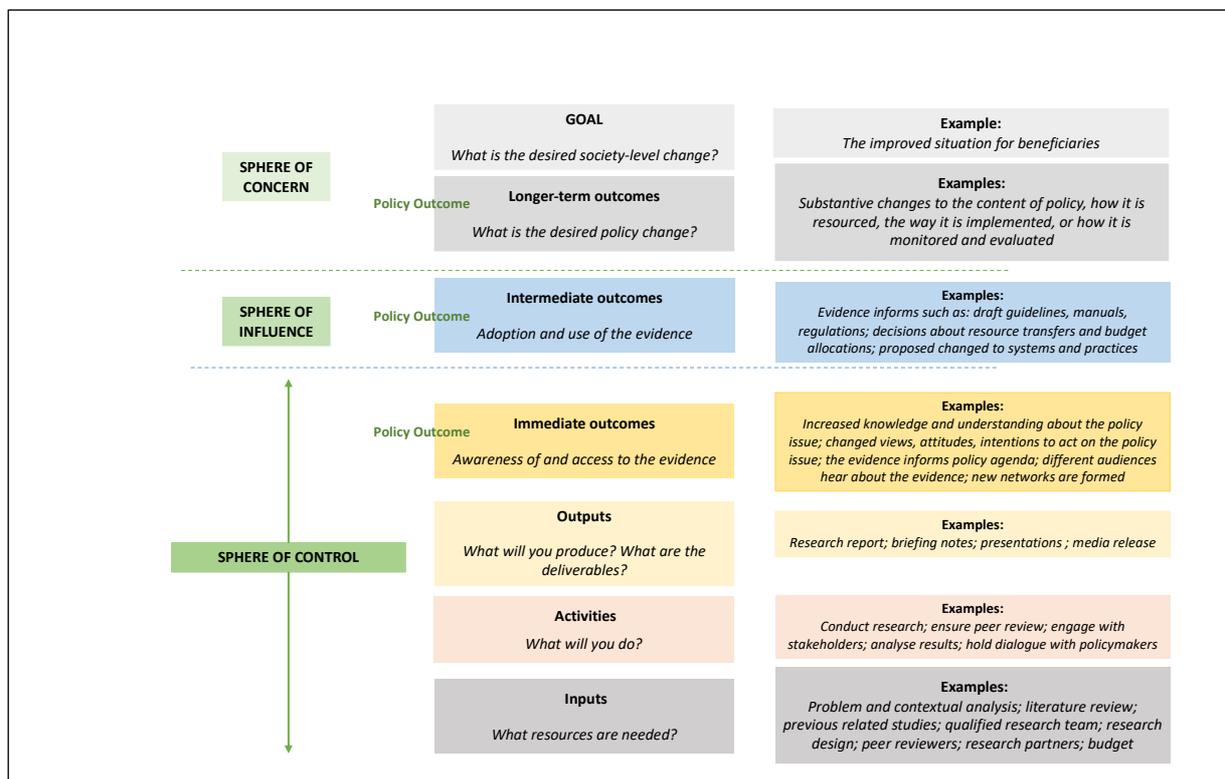
Although the elements are arranged in a hierarchy, they are not necessarily linear in practice. For example, engagement with some stakeholders will occur throughout the process; presentations of preliminary findings might occur before the research is finished as a way of seeking feedback before writing the final report; media releases might be distributed at different stages of the research as a way of gaining people's attention and promoting the issue; some intermediate outcomes might be observed even before the final research product is distributed.

¹⁴ Crewe, E. and Young, J. (2002). *Bridging Research and Policy: Context, Evidence and Links*. ODI Working Paper 173, Overseas Development Institute, London.

¹⁵ O'Keefe, C.M. and Head, J. (2011). "Application of logic models in a large scientific research program." *Evaluation and Program Planning*. Vol. 34, 3. pp. 174-184.

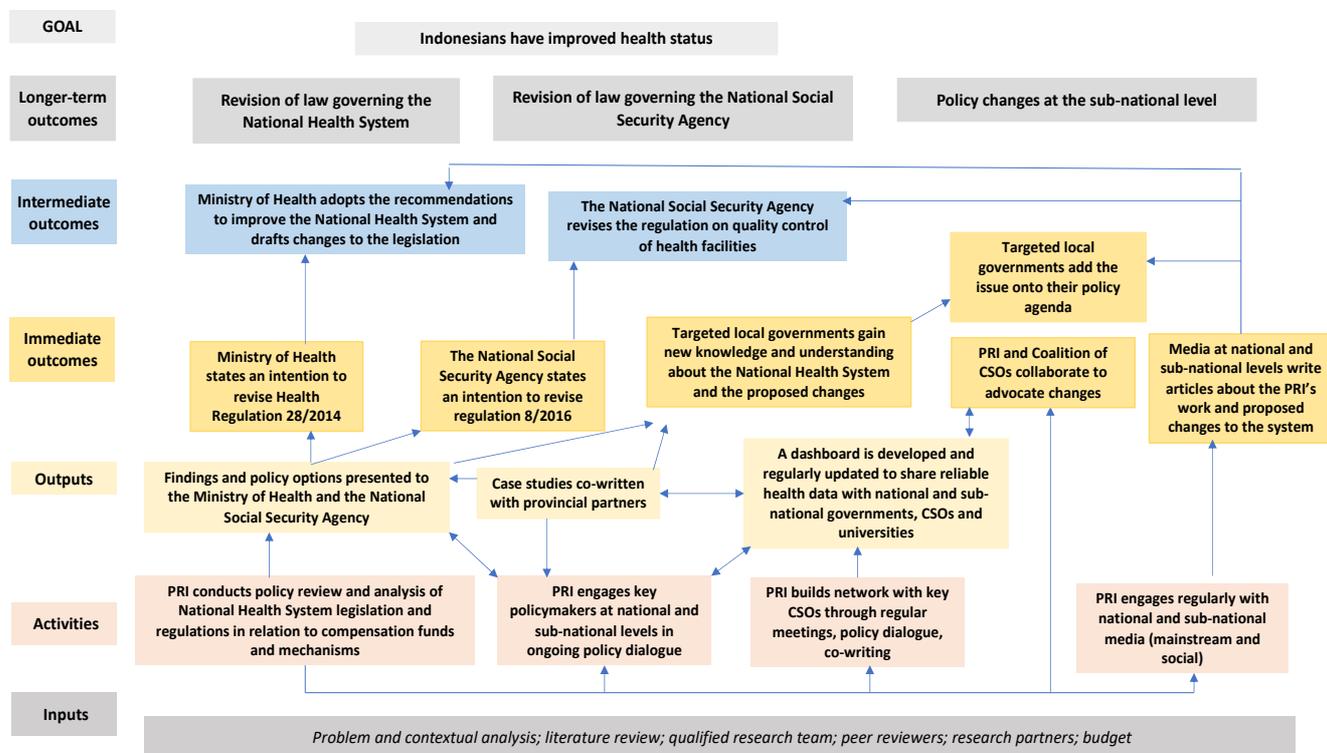
¹⁶ Developed by Julie Hind, EvaluADD as a tool for use with PRIs during KSI.

FIGURE 3: ELEMENTS OF A PROGRAM LOGIC DIAGRAM



While Diagram 3 provides the generic elements of a program logic, **Diagram 4** provides a sample of a policy research program logic.

Figure 4: Sample policy research program logic ¹⁷

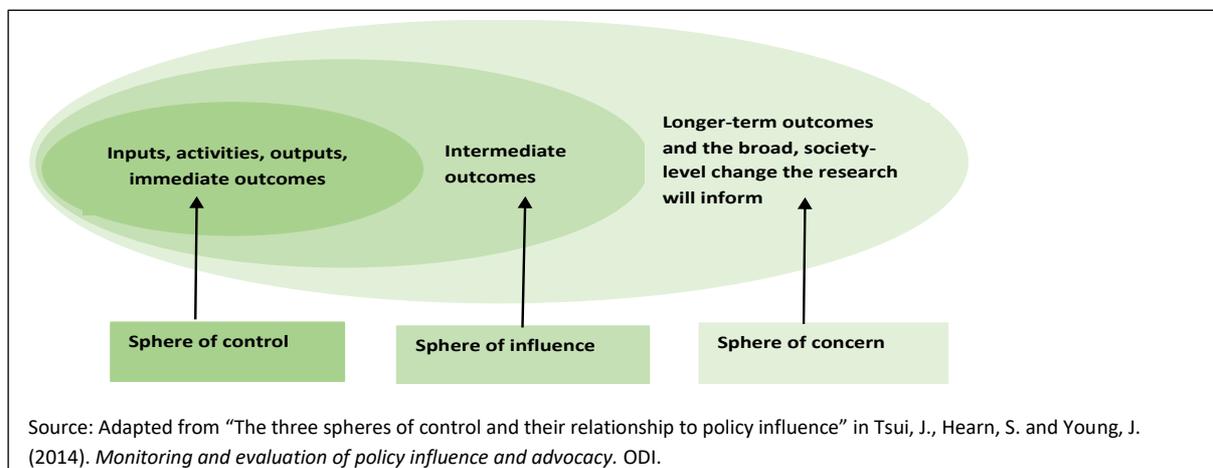


¹⁷ This example was modified for illustrative purposes from a PRI research program logic developed during KSI.

Over which parts of the program logic do you have control?

It is important to remember which components of the program logic are within your control and which are not. This is illustrated in **Diagram 5**.

FIGURE 5: SPHERE OF CONTROL



You have complete control of the components that fall within your sphere of control. You are completely accountable for these results.

You have some degree of control of the outcomes that fall within your sphere of influence. This will depend partly on the quality of your research and your stakeholder engagement, and how well you advocate the findings to policymakers and other stakeholders. While you will not have direct control over these, you will be able to influence them and therefore have some degree of accountability. You should be able to show a plausible link between your work and these outcomes. Examples of a plausible link might be the inclusion of some or all your findings in a draft guideline or reference by a senior government official that a regulation has drawn on your work.

Your research will not directly result in the society-level change therefore you do not have control at this level. Generally, you will also not have control over the longer-term outcome because policy change is highly complex, tends to occur over long timeframes and is shaped by many interacting factors.¹⁸ Your research project will be insufficient as a major factor. However, there might be times when a longer-term outcome falls within your sphere influence – refer to Text Box 1.

Text Box 1: When a long-term outcome can fall within your sphere of influence

Sometimes you might work alongside a government agency throughout the lengthy policy process. In this instance, your role goes beyond that of providing policy research and analysis. You become a co-partner in the policymaking process and have a more direct role. In this type of situation, the longer-term outcome might then fall within your sphere of influence, and you will have a greater level of influence over the outcomes.

Similarly, your organisation might, over multiple years, undertake successive pieces of research, analyses, and advocacy in a particular policy topic that cumulatively inform the policy process. In this situation, your work will be a stronger factor with a more significant influence. Therefore, over time the longer-term outcome might fall within your sphere of influence.

¹⁸ Barnett, C. and Gregorowski, R. (2013). “Learning about Theories of Change for the Monitoring and Evaluation of Research Uptake”. *IDS Practice Paper in Brief in Brief 14*. Brighton: IDS.

How to map the program logic?

This is best done as a participatory process involving the research team and partners. It can be further enhanced by involving the targeted users of the research. Work on a large table, wall, or whiteboard or when working online, use a tool such as Jamboard.

When you identify the different parts of your program logic ‘diagram’, write each one of them separately on card or Post-it-Notes. This way you can move them about until you have the ‘final’ version.

1. Determine the society-level change

As part of a quality policy research proposal, you will have undertaken a policy problem analysis, which will have clarified the rationale for the policy research. Among other things, the rationale will have included:¹⁹

- A clear statement of the policy problem
- A short and targeted overview of the background to the problem
- A detailed presentation of the current relevance/ significance of the policy problem
- The specific policy analytic information missing from the policy-making process
- The research question(s) to be addressed

From this problem analysis, identify the society-level change that the policy research aims to inform. Put this at the top of your program logic model. While you will not have control over this level of outcome, it is nonetheless important that you articulate it so that it is clear where your research sits in the overall context.

2. Identify your activities

Activities are those things that you do to implement your research project. Conducting the research is necessary but it is not sufficient. You need to do more. You need to do things such as have your work peer reviewed; engage with stakeholders; hold policy dialogue. Put these near the bottom of your model.

3. Determine the policy outcomes

Policy changes do not occur all at once and they need not always focus on formal policy change. Policy outcomes can occur on a spectrum of change from changes in knowledge, shifts in attitude, through to implementation of a policy reform.²⁰

Firstly, identify the **longer-term outcome**. This will be about substantive changes to a policy’s content, resourcing, implementation, or how it is monitored and evaluated – or perhaps even a completely new policy. Place this beneath the society-level change.

Now, **list all the possible other outcomes** that will result from the activities in your policy research project. Don’t worry about trying to put them in any order yet, just write them down.

When you list these, think about which stakeholders you are trying to influence.

- What changes do you want to see for the different stakeholders?
- How do you want each of them to use the findings?

¹⁹ KSI. (2018). *Guidance for Supporting BAPPENAS RPJMN Studies*.

²⁰ Tsui, J., Hearn, S. and Young, J. (2014). *Monitoring and evaluation of policy influence and advocacy*. Working Paper 395. ODI.

Next, **cluster these outcomes** into stakeholder groups. For example, group together all the changes related to policymakers, all the changes related to community service organisations, and so forth.

Then, **arrange the clusters** in order. Which of these outcomes might you see first? Which might come next? Which ones lead to another?

Now, **identify intermediate and immediate outcomes**. With the outcomes in order, separate them into immediate and intermediate outcomes – refer to Text Box 2.

Text Box 2: Examples of immediate and Intermediate outcomes

Immediate policy outcomes are those first level of outcomes following implementation of your activities. For example, your research project might result in increased knowledge and understanding of a policy issue by specific stakeholders; or decision-makers may change their attitude to a particular policy issue based on your findings; or your findings might be picked up by the media and written in an article; or new networks might be established around the policy issue.

Intermediate outcomes will be where your work has informed decisions about the content of policies, how policies are implemented, how they are funded, and so forth. For example, your findings may have informed draft regulations; been the basis for a decision to increase budget allocations; led to a Memorandum of Understanding (MoU); or led to a decision to establish a new monitoring system.

4. Clarify the outputs

Outputs are important to help stakeholders be aware of and access your research and findings. Different stakeholders may need different types of outputs. Often, you will need to deliver more than one type of output for each stakeholder. For example, you might need to give a government agency a formal research report *plus* a policy brief *plus* do a presentation *plus* hold policy dialogue. For the media you might need to provide a media release *plus* do an interview *plus* post short messages about the findings on social media. Sometimes, because policymaking can take a long time, you might need to deliver different outputs at different times.

To help identify which outputs are needed, ask the following questions.

- If we have different types of stakeholders, how can we present our evidence and findings so that they can understand what we have to say?
- If some outcomes are more difficult to achieve, do we need to deliver outputs at different times during the research project or policy cycle?

Place the outputs between the activities and the immediate outcomes.

5. Identify the inputs

Inputs are the resources you need for your research project. You will need more than the research team and a budget. The project should be informed by a problem analysis and a literature review of the policy issue. These will ensure that your work and the subsequent findings are framed within evidence. You will also need access to good peer reviewers who will review the design and your report.

When thinking about the resources you need, you will need sufficient resources for the following activities.

- Ensuring the quality of the research design, including attention to GEDSI.
- Undertaking stakeholder engagement and policy dialogue throughout the policy process, not just during the research stage.
- Producing different forms of outputs.

- Monitoring uptake and use of your work to ensure you are effective.

Place these inputs at the bottom of your program logic 'diagram'.

6. Check the logic

Now review the logic of your 'diagram' by **mapping the links**. Draw arrows between the activities and the outcomes that they lead to. The links might not always go upwards. Sometimes the links will sideways, for example when one outcome leads to another outcome at the same level. Sometimes the link will go back down, for example where before you can get to the next outcome level you need to repeat an activity such as engage stakeholders. Once you have mapped the links ask the following questions.

- Do you have all the activities and immediate outcomes that are **necessary** to achieve the intermediate outcomes? Are your engagement activities tailored to the different stakeholders so that they can understand the evidence?
- Are the activities **sufficient** to achieve the immediate outcomes and then are they sufficient to achieve the intermediate outcomes? Do you need to add anything? Do any activities need to be repeated at different times to achieve the outcomes?
- If your findings and related evidence are adopted and used, what other factors will influence whether the longer-term outcomes are achieved? Can you influence any of those factors? If yes, what other activities do you need to add?

Tool 2: Stakeholder Mapping

Why map stakeholders?

The purpose of policy research is to influence policy. However, the nature of policy influence is complex, is affected by many factors and actors and is rarely straightforward.²¹ Policy influence is dependent on evidence, relationships with policymakers and other actors, the socio-political context, and external influences.²² No matter how good a piece of research is, if it does not consider the political and social context in which it operates, it will be difficult to ensure uptake and use of the evidence.²³ Policy researchers need to build networks, creatively package research agendas into policy issues, be strategic in advocating and understand the needs of decision makers, and capture windows of opportunity in which to promote the uptake and use of evidence.²⁴

Therefore, it is important to know who you must engage to achieve the outcomes you want for your research. Which people and organisations have an interest in the policy issue? Who might champion it? Who or what might hinder uptake of the evidence? When should you engage them and how?

Mapping stakeholders and assessing their level of influence helps you to understand what drives their interest, influence, and actions. It helps to explain the links they might have. Mapping and analysing the stakeholders can help you understand the relationships between different people and groups and how they are likely to behave when faced with the possibility of change. When you understand this, you can better plan how to improve the chances of your research being relevant and useful and subsequently taken-up and used by decisionmakers.

The stakeholder mapping tool

Map stakeholders at the beginning as part of your research planning and design stage using the *Stakeholder Mapping Tool* ([Template 1](#)).

You will need to engage some stakeholders during the design stage. This will help you to ensure that the policy issue, policymakers' needs, and implications for beneficiaries are all well understood. You will need to engage some of these stakeholders throughout the research process. This will help you remain focused. Some stakeholders might only need to be engaged when the research is undertaken and others when the research findings are being distributed and advocated.

The stakeholder reflection tool

Use the *Stakeholder Reflection Tool* ([Template 2](#)) part-way through a long policy research project to decide if your engagement strategy is working and whether you need to adjust it.

Use the tool at the end of the policy research project to learn what worked and how you might improve your engagement the next time.

²¹ Ramalingam, B., Jones, H., Reba, T., and Young, J. (2008). *Exploring the science of complexity: ideas and implications for development and humanitarian efforts*. Overseas Development Institute, London.

²² Crewe, E. and Young, J. (2002). Op. Cit.

²³ Laws, E., and Marquette, H. (2018). *Thinking and working politically: Reviewing the evidence on the integration of politics into development practice over the past decade*. TWP Community of Practice.

²⁴ Jones, H. (2011). *A guide to monitoring and evaluating policy influence*. Background Note, Overseas Development Institute, London.

Template 1: Stakeholder Mapping Tool²⁵

Stakeholder	Impact	Influence	Interest	Contribution	Blocking	Engagement
Name, Post, Organisation	How much does the policy issue and the proposed changes impact on them?	How much influence do they have over the policy issues and proposed changes?	What is their interest in the policy and the proposed changes? How important is it to the stakeholder?	Is this stakeholder likely to support the change? Why? How?	Is this stakeholder likely to block the change? Why? Why not?	What is your strategy for engagement?
<i>Example: Minister of Health</i>	<i>For the policy change to occur, the Minister will need approve it</i>	<i>Significant influence</i>	<i>It is a new minister so is not yet fully aware of the issue</i>	<i>This is not yet known</i>	<i>There is no indication that this would happen</i>	<i>Seek an early meeting with the Minister to brief her on the issue and the research – then provide regular updates</i>

1. Assign a facilitator. This might be a senior person from your organisation not directly involved in the research team. It might be a trusted external person who knows the organisation or has a good understanding of the political and social context in which you are working. The facilitator’s role is to manage the group discussion and to help the team explore the stakeholders’ interests and influence, and your relationship with them in more depth.
2. In a workshop, get all the research team to input their ideas. Sometimes it is good to also involve your partners if this is possible.
3. Draw the stakeholder table matrix on a large whiteboard or flip chart
4. List all the relevant stakeholders

²⁵ Adapted from www.tools4dev.org by Julie Hind, EvaluADD. Used by PRIs during KSI.

- Remember to think about all the people who might have an interest or influence on the outcome, not just the stakeholders with whom you will directly work.
 - People in the same work unit or organisation can have different degrees of interest and influence. If this is the case, it is best to list each one separately.
4. For each listed stakeholder, answer the question in each of the five shaded columns and write High or Low, depending on your answer to the question.
 5. Now the facilitator can help you put this list of stakeholders in a priority order.
 6. Now plan an engagement strategy to match the level of interest and influence of stakeholders – and record this in the last column.

Template 2: Stakeholder Reflection Tool²⁶

Stakeholder	Right stakeholder?	Right timing?	Right way?	Right intensity?
<i>Example:</i> <i>The National Social Security Agency</i>	<i>This was the right stakeholder because they are key to the successful implementation</i>	<i>The Head of the agency caught COVID was absent for some time. This made it difficult to keep him up to date as much as we wanted</i>	<i>It might have been improved if we had increased our engagement with others in the agency</i>	<i>We had regular policy dialogue as well as informal meetings – but were hampered by the Head being ill for so long</i>

1. Get all the research team and any partners to input to the reflection. Ask someone outside the team to lead the reflection and discussion.
2. Draw the stakeholder reflection table on flip chart or a large whiteboard.
3. List stakeholders in the left-hand column.
4. Discuss whether you engaged with the right stakeholders, at the right time, in the right way and with the right intensity to achieve the intended engagement outcomes. Make notes in each column.
5. Discuss any lessons learned and changes you might make next time.

²⁶ Developed by Julie Hind, EvaluADD. Used with PRIs during KSI.

Tool 3: Research proposal structure

Text Box 3: An example of a research proposal template²⁷

Example of a research proposal structure

1. Introduction/ Abstract
 - a. Project title
 - b. A one paragraph summary of proposal (Covering the significant aspects of the problem addressed, the hypothesis to be tested, the cases used, and the expected results)
2. Rationale for the research
 - a. A clear statement of the policy problem
 - b. A short and targeted overview of the background to the problem
 - c. A detailed presentation of the current relevance/ significance of the policy problem
 - d. The specific policy analytic information missing from the policy making process
 - e. The research question(s) to be addressed
 - f. The methodological approach, the geographic scope, ethical consideration of the proposed research
3. Goals/ Objective of the Research
 - a. A statement of the broad, society-level change that the research will aim to inform/ lead
 - b. The specific objectives that the research project will need to achieve
4. Research Methods
 - a. The set of hypotheses
 - b. A statement of what are attempted to be measured
 - c. The indicators to be used
 - d. The cases to be analysed in the study
 - e. The methods that will be used to generate and collect the data
 - f. The procedure and techniques to be used in analysing and processing the data
5. Expected Results/ Policy Relevance
 - a. A clear statement how the insights developed will feed into the current policy environment
 - b. New knowledge or methodological insight
 - c. Plans for dissemination of the research result
6. Institution and Personnel
 - a. A description of prior similar experience/ qualifications by the applicant in policy research
 - b. Roles and responsibilities of all applicants within the proposed research plan
 - c. CVs of all included in the project team (as appendix)
7. Timeline and Budget
 - a. A detail costs related to all stages of the research
 - b. A breakdown of the main tasks/ stages of the project (e.g., Gantt chart)
8. Bibliography
 - a. References for all literature and documents cited throughout the research proposal

²⁷ Adapted from The Policy Research Proposal – Descriptor, International Centre for Policy Advocacy, Writing Effective Public Policy Papers. Budapest: OSI/LGI – and presented in KSI (2018). Op. Cit.

Tool 4: Peer Review – Research design

Template 3: Peer Review of the Research Design²⁸

Name of Reviewer & Organisation of Reviewer:		
Date of review:		
Component	Review Questions	Reviewer's Comments and Suggested Actions
Literature Review	<ul style="list-style-type: none"> • Is the literature relevant to the area of policy and the problem analysis? • Has sufficient literature been included? • Have the right conclusions been drawn from the literature? • Have GEDSI issues been adequately included? 	
Research Questions	<ul style="list-style-type: none"> • Are the research questions relevant given the context of the rationale and the research objectives? • Have GEDSI issues been included? including the degree to which GEDSI issues have been included 	
Methodologies	<ul style="list-style-type: none"> • Is the approach appropriate to answer the research questions? • Are the measures and indicators the right ones? • Will the proposed tools and instruments help answer the research questions? • Are the sampling methods correct? • Is there an appropriate analysis plan? • Have GEDSI sensitive approaches been included? 	
Resources	<ul style="list-style-type: none"> • Does the research team have the appropriate level of skill and expertise? • Are there sufficient personnel? • Are the timelines and proposed budget appropriate to meet the research objectives? 	

²⁸ Developed by Julie Hind, EvaluADD for this toolkit.

Tool 5: Five Components of Robust Evidence

Text Box 4: Assessing the quality of research using five components of robust evidence ²⁹

<p>Do you believe that the way information has been sourced, analysed, and synthesised gives you CREDIBLE evidence for policy?</p> <ul style="list-style-type: none"> • Do you have a sense that best practice has been followed, both in sourcing the information; and in analysing and synthesising it? Can you refer to this? • Is there a clear line of argument between the evidence and the options? • Is it presented clearly in language that allows non-specialists to see how you arrived at the options? • It will strengthen your case if people with different specialisms have contributed to the way the argument has developed. Can you refer to this to support your position? 	<p>Is the evidence RELIABLE enough for monitoring & evaluation, or for impact assessments?</p> <ul style="list-style-type: none"> • Have you considered what evidence you might need to collect now that will support future monitoring, evaluation, and impact assessments of the policy? • Have you built on the results of previous monitoring or evaluations? • If the wider context of your policy is important, will you be able to track this sort of information in a regular and meaningful way? • Can people see how the argument has evolved over time? This is important where you are developing a line of argument – especially if the argument is contentious.
<p>Do you believe that the evidence in front of you is OBJECTIVE?</p> <ul style="list-style-type: none"> • Are you sure that the evidence has been gathered and analysed with the minimum of bias from researchers, policy officials and decision-makers? • If you feel that the evidence is biased in any way, have you discussed this bias and accounted for it in the way you present the options? Will the bias affect your recommendations? How can you be sure? • Have any stakeholders suggested that the evidence is biased? How have you dealt with this in presenting the evidence and options? 	<p>Do you believe that the evidence for this policy is well ROOTED in a wider understanding of the issue?</p> <ul style="list-style-type: none"> • Have you fully explored the issue or are there other aspects that you could/should covered? (Be honest with yourself!) • Have all key stakeholders been involved in a meaningful way? Can you show that they are satisfied with their involvement? • Does the history of the evidence affect how the policy issue has emerged? Has the history been contentious or relatively easy? Do you need to explain the history? • People will bring their own perspectives to their reading of the evidence base, which will mean they may ask questions you have not considered. Have you encouraged people with other interests/perspectives to question any assumptions you may have made without realising? For example, would it help to have some social analysis to enrich your line of argument and support the way you have weighted any options?
<p>Can you make GENERALISATIONS from the evidence you are using?</p> <ul style="list-style-type: none"> • Have you discussed the wider context as well as the specifics of the issue? If you do not think this is necessary, then please say so and say why. • Which bits of the context are important, either to the options or to your recommendations? Why? How might the context affect deliverability? • Are you rolling out after a pilot phase? Are you sure that best practice has been followed in scoping the pilot in relation to the intended roll-out? 	<ul style="list-style-type: none"> • Have you presented the evidence clearly so that others are encouraged to use it? Have you set it out in an open manner, so that they can look deeper into the evidence base if they want to?

²⁹ Adapted from: Department for Environment Food and Rural Affairs – Guidance on assessing the robustness of the evidence base. Copied from Shaxson, L (2014), *Investing in Evidence, Lessons from the UK Department for Environment, Food and Rural Affairs* – KSI Working Paper 2. Annex A.

Tool 6: Peer Review – Analysis and Report

Template 4: Peer Review – Analysis and Report³⁰

Name of Reviewer & Organisation of Reviewer:	
Date of review:	
Review Questions	Reviewer's Comments
Did the research follow the research plan? If not, have the adjustments been explained and justified?	
Have the research questions been adequately answered?	
How reliable is the evidence? How has the team addressed any issues of bias and methodological limitations?	
How plausible is the link between the data and the findings and recommendations?	
Have the analysis and findings considered and addressed GEDSI issues?	
How appropriate are tables, diagrams, tables? Do they help to explain the findings?	
How clearly are the findings described? Is it easy to follow the argument?	
How readable is the report? How clearly is it written?	
Is the referencing/citation appropriate and accurate?	
What improvements are being recommended?	

³⁰ Developed by Julie Hind, EvaluADD for this toolkit.

Tool 7: M&E Plan

Template 5: M&E plan template³¹

What do we want to achieve? (Outcomes)	What do we want to know? (M&E questions)	How will we know it? (Success measures)	Where will the data come from? (Data source, method, responsibility, timeframe)
Activities			
Quality policy research	<p>Has the research project been informed by a comprehensive literature review?</p> <p>Has the research design been peer reviewed for quality?</p> <p>Have the literature review and research design included GEDSI issues?</p> <p>What has been learned from the peer review process?</p>	<p>Peer review indicates that:</p> <ul style="list-style-type: none"> the literature review was relevant, appropriate, included GEDSI issues, and informed the research questions the research design is relevant and appropriate, the methods are valid and sound, and includes GEDSI issues <p>The literature review and the research design are updated in response to the peer review</p>	<p>Peer review report – completed by external peer reviewers at the design stage</p> <p>The research team discusses the peer reviewers’ recommendations and what has been learned. Changes are made to the research design</p>
Effective stakeholder engagement	<p>Are women, people with disabilities, and other vulnerable groups being engaged at different stages of the project?</p> <p>Are stakeholders being engaged appropriately?</p> <p>What has been learned about effectively engaging stakeholders?</p>	<p>Women and other vulnerable groups are participating in the various stages of the project</p> <p>Stakeholders are engaged in accordance with stakeholder plan</p> <p>The right stakeholders are being engaged in the right way and in the right frequency</p>	<p>List of respondents and participants for each ‘event’ – collected by the research team throughout the project</p> <p>File note of the event/meeting recording how people were engaged and noting any good points and any issues – collected by research team throughout the project</p> <p>Stakeholder analysis workshop as part of research team reflection – done at design stage to develop the stakeholder plan and then at end (or mid-way for a longer research period). This reflection workshop also gathers notes about the lessons learned.</p>

³¹ Original template developed by Julie Hind, EvaluADD. This tool was introduced to PRIs as part of KSI and was then populated as a generic M&E Plan for PRIs by Julie Hind, EvaluADD for this toolkit.

What do we want to achieve? (Outcomes)	What do we want to know? (M&E questions)	How will we know it? (Success measures)	Where will the data come from? (Data source, method, responsibility, timeframe)
Outputs			
Quality policy research products	Has the report and other products been peer reviewed for quality? Do the findings and policy options include GEDSI issues? What has been learned from the peer review process?	Peer review indicates (i) findings and conclusions are evidence-based, (ii) policy options are feasible given the findings and conclusions, and (iii) GEDSI issues have been addressed and are included in the policy options The report and other products are adapted in response to the peer review	Peer review report – completed by external peer reviewers after the analysis and before the final report/product The research team makes a file note outlining the peer reviewers’ recommendations and how the research team adapted the report and other products The research team discusses the peer reviewers’ recommendations and what has been learned. Changes are made to strengthen the analysis and report
	Do intended users perceive the study and its products are of quality? What has been learned from the feedback of intended users?	Key users of the research findings and policy options report that they are timely, relevant, and useful	Conduct of Quality Rubric with key intended users to assess the perceived quality of the policy research – conducted by someone external to the research team after dissemination of evidence The rubrics are collated and the results are discussed with the research team and key lessons are documented by the team leader
	What is the level of uptake of the research and its products? How can this be improved?	Reach, e.g., # people report distributed to; # attendees at dissemination events X agency Mentions of the research findings and policy options in online and offline media, e.g., # Fb likes, #re-tweets Website traffic, e.g., # views on website of the report or other products, # downloads Request for more information, e.g., # people seeking further information, copies of report, requests for presentations X agency	Someone in the PRI is delegated to gather this information on ongoing basis using tools such as: dissemination list; web analytics; Google analytics; list of requests. The research team periodically reviews the data and reflects on the level of uptake. The team leader documents the key points and steps are taken to improve the uptake

What do we want to achieve? (Outcomes)	What do we want to know? (M&E questions)	How will we know it? (Success measures)	Where will the data come from? (Data source, method, responsibility, timeframe)
Immediate Outcomes			
Policy processes are being influenced	<p>What immediate outcomes are being achieved? Were any unexpected?</p> <p>Are any helping to progress GEDSI issues?</p> <p>How can achievement of the immediate outcomes be improved?</p>	<p>Stakeholders have an awareness of, and are accessing, the research evidence – as demonstrated by achievement of the immediate outcomes as per the program logic</p> <p><i>Insert here the specific immediate outcomes in the program logic e.g., targeted stakeholders say they have more knowledge about the policy issues</i></p>	<p>Impact logs to document information about stakeholders' changed understanding, attitudes, GEDSI etc. – collected by the research team during the project</p> <p>Policy documents showing the inclusion of data from the research – collected by a delegated person in the PRI on an ongoing basis</p> <p>Media tracking showing that the findings are being discussed – collected by a delegated person in the PRI on an ongoing basis</p> <p>Interviews/Surveys of intended users to explore their awareness of and access to the evidence – conducted by someone external to the research team after dissemination of evidence</p> <p>Team reflection after the dissemination of evidence to discuss if immediate outcomes are being achieved as expected and how this can be improved – team leader or facilitator to document the key points and next steps</p>
Intermediate Outcomes			
Preliminary policy change	<p>What intermediate outcomes being achieved?</p> <p>Are any helping to progress GEDSI issues?</p> <p>How can achievement of the intermediate outcomes be improved?</p>	<p>Stakeholders are adopting and using the evidence as demonstrated by achievement of intermediate outcomes as per the program logic</p> <p><i>Insert here the specific intermediate outcomes in the program logic, e.g., findings have informed development of guidelines</i></p>	<p>Impact logs that document information about stakeholders' adopting and using the evidence – collected by the research team on ongoing basis beyond the project</p> <p>Policy documents (e.g., guidelines, SOPs, etc.) – collected by a delegated person in the PRI on an ongoing basis beyond the project.</p> <p>Record how these have changed from the original ones and how they link to the PRI's evidence</p>

What do we want to achieve? (Outcomes)	What do we want to know? (M&E questions)	How will we know it? (Success measures)	Where will the data come from? (Data source, method, responsibility, timeframe)
			<p>Media tracking showing how policy is changing and how it links with the evidence from the PRI – collected by a delegated person in the PRI on an ongoing basis beyond the project</p> <p>Team reflection to occur periodically, e.g., every six-months to discuss the monitoring data, identify what policy changes are occurring, and steps that might need to be taken to help achieve the outcomes. The team leader or facilitator to document the key points and next steps</p>
Longer-term outcomes			
Significant policy change	<p>Are there any substantive changes to the content of a policy, or how it is resourced, or how it is implemented, or how it is monitored and evaluated?</p> <p>Are these changes incorporating GEDSI issues?</p> <p>How did the PRI's work contribute to this significant change?</p>	<p>There is evidence of the changes in government papers, budgets, programs</p> <p><i>Insert here the specific longer-term outcomes in the program logic</i></p>	<p>Impact logs documenting information about significant policy change and the link with the PRI evidence – collected by the research team on ongoing basis beyond the project</p> <p>Legislation, RPJMN, RPJMD, new programs, etc – collected by a delegated person in the PRI on an ongoing basis beyond the project – show how these have changed from the original ones – and the link with the PRI evidence</p> <p>Media tracking of government announcements of significant changes in policy – collected by a delegated person in the PRI on an ongoing basis beyond the project with information about how the PRI's evidence links to these changes</p> <p>Team reflection to occur periodically, e.g., every six-months to discuss the monitoring data and reflect on the extent to which the PRI has contributed to these changes. Record key points and document the evidence the PRI has that supports the assessment of the contribution</p>

Tool 8 - Impact Logs

What are they?

Impact logs are records of the feedback that the PRI receives about its research, findings, research products, and the uptake and use of these. This feedback can be formal, informal, or comments made by stakeholders. By recording this feedback in an impact log, anecdotal data can be turned into useful informative data. Impact logs can also include notes about contextual changes.

When are they recorded?

Impact logs are recorded on a regular basis as new comments, feedback and anecdotes arise. Impact logs should be recorded soon after any feedback or comment is received so that it can be recorded more accurately (and not forgotten). The log is cumulative so grows over time.

The research team leader will set up a single impact log using the format on the next page. It is recommended that it be set up in an Excel spreadsheet so that the data can be easily interrogated. All research team members contribute to the impact log, recording information, comments, anecdotes, and feedback received from external actors. These might be heard or observed during meetings, from speeches or media articles, from external social media, or statements made at public events. The items of interest might be about the context, the research process, outcomes, external actions or decisions, issues, or general feedback.

How are they used?

The research team will use the impact log periodically to answer the relevant monitoring questions in the M&E plan. The impact log will provide:

- evidence of outcomes
- changes in the context
- information about issues so that the team can discuss and any implications

Template 6: Impact log template³²

Date you heard, observed, or read about the item of interest	Give a summary of the item of interest	What is the evidence to support the item of interest? Provide a link to an article, media etc. and/or scan item	Is the item of interest related to an external decision, activity, or project outcome (expected or unexpected), an issue, or general feedback	Why is this important? Is this what we expected or is it a surprise? Does it question or confirm our understanding of the situation? Does it present any opportunities or risks?	What action do we need to take? Are any changes needed?
Date	News/Update	Evidence	Type of news/update	Relevance	Follow up
<i>EXAMPLE:</i> 5 March 2022	<i>A new minister was appointed to Ministry X</i>	<i>Statement by the President</i>	<i>External decision</i>	<i>This might have implications for the Ministry's priorities, which in turn might impact on the research project</i>	<i>Team leader to meet with the new Minister as soon as possible to discuss the research project</i>
<i>EXAMPLE:</i> 10 April 2022	<i>Media article reporting the findings of our research</i>	<i>Link to the article found here</i>	<i>Expected immediate outcome</i>	<i>This is expanding the dissemination of our findings to a broader audience</i>	<i>Use the article as evidence for uptake of our research</i>

³² Template developed by Julie Hind, EvaluADD.

Tool 9 - Meeting and Event File Note

File notes of meetings and events should be recorded so that the PRI has information to help it monitor and evaluate its work. The PRI should delegate a staff member at each meeting or event to take notes. After the meeting or event, the notetaker should type up the file note, have it checked for accuracy by another team member who was also at the meeting or event, and then file the record so that it can be readily accessed for M&E.

The following format may be used if the PRI does not have its own format.

Template 7: Template for File Note³³

File Note	
Name of event	
Date	
Location	
Purpose of event	
Participants (Can attach a copy of the participant record)	
Brief narrative of the key aspects of the event (include any decisions taken)	
Specific issues (If any)	
Any key points that need follow-up	

³³ Developed by Julie Hind, EvaluADD for this toolkit.

Tool 10 – Team Reflection to Explore Outcomes

Team reflection workshops are used to help the PRI reflect upon and monitor the outcomes of its work. It is recommended that they be facilitated by someone external to the research team. This could be a more senior person in the PRI or an external person with good facilitation skills. The team leader or the facilitator should take notes of the key points discussed.

Text Box 5: Key Reflection Questions³⁴

Key reflection questions

1. What outcomes are being achieved?
2. How do we know this? What data and evidence do we have to confirm that these outcomes are being achieved? Where can we get the data or evidence (if we don't already have it)?
3. Were these outcomes expected? Have there been any outcomes that were not expected? Were they positive or negative outcomes?
4. How did we contribute to these outcomes? How did we add value? Did we contribute to the level we expected? If not, why not?
5. Who else contributed? How did they add value?
6. Are there any issues that need to be addressed?
7. What else can we do to help improve or progress the desired outcomes?

³⁴ Developed by Julie Hind, EvaluADD for this toolkit.

Tool 11 – Questions for Perceived Quality

Template 8 is a simple rubric that may be used when interviewing key stakeholders to understand how they perceive the quality of the research or study. The interviewer asks the key stakeholder to:

- read the statements about **timeliness** and give a rating that best matches their perspective; then
- read the statements about **usefulness** and rate it; then
- read the statements about **relevance** and rate it.

The interviewer should ask the stakeholder to explain why they chose the various ratings and record these explanations as accurately as possible.

Template 8: Simple Rubric to Rate Stakeholder Perception of Quality³⁵

Name, position, and organisation of respondent:			
Date:			
Rating	Timeliness	Usefulness	Relevance
Excellent	When the findings are delivered: <ul style="list-style-type: none"> • The socio-political context is very favourable; and • There is very high interest in using the evidence and associated outputs 	<ul style="list-style-type: none"> • The policy options offer a clear, realistic, and practical response to the problem; and • There is a clear sense of the next steps 	<ul style="list-style-type: none"> • The policy options are widely accepted as being appropriate to the problem; and • The response will contribute to needed reform
Good	When the findings are delivered: <ul style="list-style-type: none"> • The socio-political context is not as favourable as was expected but clear windows of opportunity exist; and • There is high interest in using the evidence and associated outputs 	<ul style="list-style-type: none"> • The findings and policy options offer a response to the problem that is likely to work but they need to be clearer, more realistic, or more practical; and • Guidance on next steps has been provided but need to be clearer 	<ul style="list-style-type: none"> • The findings and policy options are accepted by most but not all key stakeholders as being appropriate to the problem • The response will probably contribute to needed reform
Fair	When the findings are delivered: <ul style="list-style-type: none"> • The socio-political context has shifted with only limited windows of opportunity available • There is some limited interest in using evidence and associated outputs 	<ul style="list-style-type: none"> • The findings and policy options offer limited realistic and practical solutions to the problem; and • There is limited guidance on the next steps 	<ul style="list-style-type: none"> • The findings and policy options have some level of acceptance but not by many key stakeholders • The response might contribute to needed reform
Poor	When the findings are delivered: <ul style="list-style-type: none"> • The socio-political context is no longer favourable; and • There is little or no interest in using the evidence and associated outputs 	<ul style="list-style-type: none"> • The findings and policy options offer no realistic or practical options to address the problem; and • There is little or no guidance on how to proceed 	<ul style="list-style-type: none"> • The findings and policy options are considered too difficult or risky; and • The response will have minimal impact on the reform

³⁵ Developed by Julie Hind, EvaluADD for this toolkit.