



# Learners, practitioners and teachers

Handbook on monitoring, evaluating  
and managing knowledge for policy influence

CIPPEC<sup>®</sup>



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Weyrauch, Vanesa

Learners, practitioners, and teachers : handbook on monitoring, evaluating and managing knowledge for policy influence / Vanesa Weyrauch ; Julia D'Agostino ; Clara Richards. - 1a ed. - Buenos Aires : Fundación CIPPEC, 2011.

124 p. ; 23x23 cm.

ISBN 978-987-1479-32-0

1. Administración. 2. Monitoreo. 3. Management. I. D'Agostino, Julia II. Richards, Clara III. Título  
CDD 658

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#### Edition

Carolina Nahón and Dolores Arrieta

#### Graphic Designer

Patricia Peralta

#### Illustrator

Mariano Caccia

First edition: 500 copies

#### Printed at:

La Stampa, Hipólito Yrigoyen 1189 2°B

Ciudad Autónoma de Buenos Aires (1086), Argentina, March 2011

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# Index

- Acknowledgements .....7
- Introduction .....9
  - Handbook objectives..... 10
  - Uses and potential users of this Handbook..... 11
  - Sources consulted and textual transcripts ..... 12
- CHAPTER 1: Where is Latin America in terms of monitoring and evaluation (M&E)? ..... 13
  - Opportunities..... 14
  - Challenges ..... 15
- CHAPTER 2: M&E Plan and strategy ..... 19
  - A key decision: Do we want to monitor and evaluate our policy influence? ..... 19
  - Key definitions: what do we understand by monitoring and evaluating policy influence? ..... 19
  - Stages in the design of an M&E system for policy influence: .....20
  - M&E principles: how to guarantee its usefulness, viability, origin and precision .....33
- CHAPTER 3: M&E Tools.....37
- CHAPTER 4: How is knowledge of policy influence managed in Latin America? ..... 51
  - Opportunities.....52
  - Internal ..... 52
  - External .....53
  - Challenges .....54
  - Internal .....54
  - External .....56
- CHAPTER 5: Strategy to implement a Knowledge Management (KM) Plan .....59
- CHAPTER 6: Tools for Knowledge Management .....69

<b>CHAPTER 7: Latin American cases</b> .....	93
CASE 1: The experience of LATN in the implementation of Outcome Mapping –by Jorgelina Loza.....	93
CASE 2: The experience of Universidad de la República (Uruguay) and the Ministerio de Desarrollo Social in implementing KM –by Andrés Rius, Andrea Vigorito and Verónica Amarante.....	95
CASE 3: The experience of LA-IGTN in monitoring and evaluating practices of policy influence –by Agustina Pérez Rial and Norma Sanchís.....	99
CASE 4: Communicating to influence: An M&E case developed in Latin America by APC –by Roxana Goldstein.....	103
 <b>Annex 1:</b> Example of a SWOT Matrix (Phase 1 – Diagnosis) .....	107
<b>Annex 2:</b> Template for diagnosing organizational M&E capabilities.....	108
<b>Annex 3:</b> Summary Card of an M&E plan.....	109
<b>Annex 4:</b> Example of an Output x Impacts Matrix .....	110
<b>Annex 5:</b> Template for systematizing a policy influence case .....	111
<b>Annex 6:</b> Media Report, CIPPEC Foundation. ....	112
<b>Annex 7:</b> Blame Behaviors vs. Gain Behaviors .....	113
<b>Annex 8:</b> Mind Maps.....	113
<b>Annex 9:</b> Activity-based Knowledge Maps.....	114
<b>Annex 10:</b> Knowledge Harvesting. Guiding questions: .....	115
<b>Annex 11:</b> Action Learning .....	115
 <b>Bibliography</b> .....	117

# Acknowledgements

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For the production of this handbook, the Civil Society Direction counted with the invaluable contribution of some publications previously written in the M&E and KM field. We would like to thank here to the authors because their texts have been a special input for this publication.

- Servin, Giraud: *ABC of Knowledge Management*. NHS National Library for Health: Specialist Library Knowledge Management, 2005.
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- Ramalingam, Ben: *Tools for Knowledge and Learning a Guide for Development and Humanitarian Organizations*, Overseas Development Institute, London, 2006.

The productions of this handbook wouldn't have been possible without GDNNet's support to the Program "Spaces for engagement: Using knowledge to improve pro poor public policy." GDNNet gratefully acknowledges financial support from DFID and DGIS towards GDN's overall Capacity Building Program.





# Introduction

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By Vanesa Weyrauch

“Learning is finding out what you already know. Doing is demonstrating that you know it. Teaching is reminding others that they know just as well as you. You are all learners, doers, and teachers.”

Richard Bach

Every aspect of the impact that research has on public policies is of growing interest to researchers, social organizations, experts, public officials, research centres and universities.

From environmental policies to social security systems, the impact of research and its evidence in formulated and re-formulated policies is largely heterogeneous. This is only partly explained by the particular characteristics that every public policy community has (when it comes to formulating public programs, economists and political scientists don't use evidence in the same way). The use of research changes significantly depending on the diverse political and institutional contexts, which frame much of the debate and public decision making in each country of the region.

Within the universe of actors involved in this matter, we should note **public research institutes** (PRIs). In this handbook we follow Carlos Acuña's proposed definition for PRIs/Think Tanks as “1) not-for-profit, 2) formally institutionalized, 3) collective actors, 4) whose dominant organizational role is, whether formally or in practice, to influence public policies, 5) through knowledge creation and dissemination, 6) which may include in its focus diverse actors that

can impact directly or indirectly on the design and implementation of policies (governmental, para-governmental or social actors, or citizenship in general)” (Acuña, 2009: 8). To summarize, their mission is focused on making research feed and influence public decision-making in various issues.

Making research have an impact on policies is, therefore, key to both their survival and legitimacy. It is also a growing interest and concern of donors, who are eager to see that the research they fund has an actual impact on policy. In the case of public officials, responsible for making decisions, pressed by the demands of many stakeholders and packed agendas, it creates attention, uneasiness and skepticism.

However, all of them would recognize that the road that goes from a piece of research to public policy is a winding, forked and blurry one. This is why both academic literature and professional practice insist on the complexity (sometimes even on the impossibility) of measuring, evaluating and systematizing the process of policy influence. “The problem lies not only on identifying the actors who influenced a certain policy but also on the increasing awareness about the difficulty of proving a direct impact” (Weyrauch y Selwood, 2007).

Therefore, we shouldn't be surprised to find that **monitoring and evaluation** of the impact that research has in public policies is a limited practice in Latin America. As a matter of fact, in a study on the subject, Lardone and Roggero (2010) note “standardized M&E practices are not frequently found among analyzed PRIs. Although many of them pay attention

to the impact of their activities on public policies, not many use a set of defined and standardized methodologies to perform evaluations” (Lardone & Roggero, 2010).

As a result of this lack of M&E practices, **knowledge management** (KM) about experience in policy impact is barely developed in regional organizations. According to a study on the use of policy-impact KM in the region, “systematization of these experiences is still emergent and scant. There is a valuable body of knowledge that remains tacit and – in most cases – barely codified. Socialization of such knowledge generally depends on informal meetings or discussions, between staff and among institutions” (Weyrauch et. al., 2010).

At the same time, poor generation and socialization of knowledge affect PRIs in their capacity to contribute more efficiently with their research to the processes of generating an agenda, and of drafting, implementing, monitoring and evaluating public decisions.

There’s definitely a link between M&E and KM of policy influence. An effective and practical evaluation can easily lead to a good story about a particular experience in policy impact that is helpful to members and peer organizations. The internal culture of a research institution becomes stronger when members understand more and better the challenges that lay ahead, when they motivate one another, and introduce changes together based on what they’ve learned.

There are various advantages for organizations that make progress in these fields. They can validate institutional strategies to strengthen the impact of research on public policies, which is precisely their *raison d’être*. They can also build a stronger reputation and achieve greater visibility to attract more support from donors. When approached with a genuine interest in learning, developing an M&E system and initiating a KM culture can become an instance for learning

and motivation for organization members. M&E and KM also help organizations focus better on their activities, monitor where and how resources are invested, and draft sound and realistic strategic plans.

**For all the above reasons, taking the first steps to formalize M&E and KM practices of policy impact shouldn’t be a luxury for organizations. On the contrary, it entails an intelligent and promising investment.**

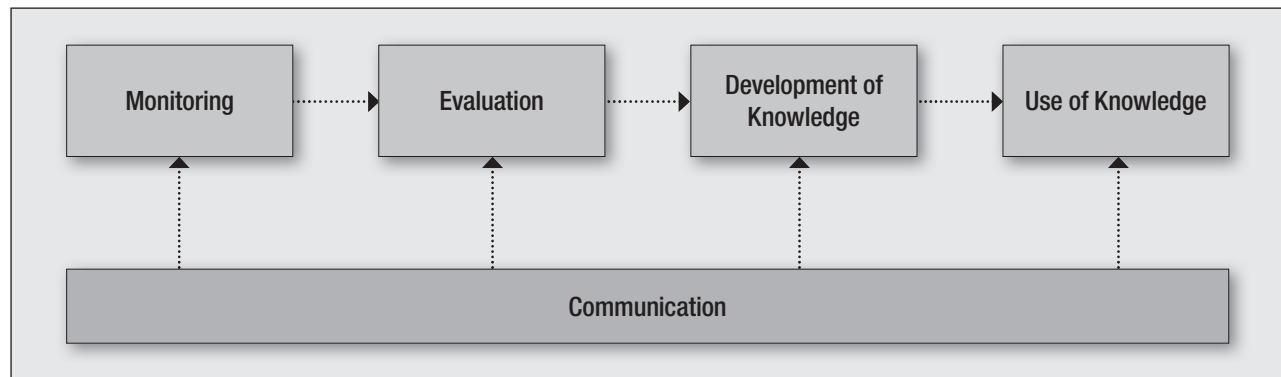
## Handbook goals

The main purpose of this handbook is to facilitate the investment process of a public research institute (PRI) in developing a system (from the simplest to the most sophisticated) of monitoring and evaluation (M&E), and knowledge management (KM) of the impact of research on public policy.

Based on reflections, work methodologies and practical tools, our aim is to travel the road that leads an organization from monitoring its practices to using knowledge to improve its performance.

In **chapters 1-3** we will address why and how an M&E plan should be developed. **Chapters 4-6** offer a guide to creating a KM system resulting from M&E practices. Throughout these steps, communication is considered as a fundamental strategy to reach consensus with those who could affect or could be affected by the process of developing these practices. The handbook ends with **Chapter 7** on the experience of some organizations trying to take this road, a road that implies important organizational changes that call for good communication in order to be successful. It must be kept in mind that members and leaders of the organization are the ones who –with their personal imprint– will define the way this road is travelled.

• **Image 1. Knowledge management and monitoring and evaluation processes in an organization**



Source: Own elaboration

Regarding this image, this handbook's goals are to:

1. Convince decision-takers of organizations interested in influencing public policies through research of the importance and value of monitoring and evaluating their activities and of creating knowledge based on their policy influence experiences.
2. Create greater awareness of the challenges and opportunities in relation to creating and changing M&E and KM practices, and to provide tools and ideas to approach these practices.
3. Offer work methodologies, tools and useful resources that facilitate drafting and implementing an M&E and KM strategy and a plan in the organization.
4. Socialize experiences of institutions that have made some progress or tried to move ahead in these fields, promoting a greater regional interaction among them.

"If information flows well between and within organizations, it empowers people by enabling them to make evidence-based choices; it promotes efficiency; and it enables creativity. Information does not flow well by chance; the process needs to be managed by everyone concerned." (Powell, 2003).

## Uses and potential users of this handbook

Although this handbook has different users, they all have something in common: they are engaged with public issues. We believe this handbook can be a source of thoughts and ideas for strengthening practices of network interaction. The following groups may be helped in different ways:

### Public Research Institutes, Research Centers, and Universities interested in influencing public policies

- Develop a better understanding of their strengths and weakness in terms of M&E and KM, and of

how to minimize or build on them to improve policy impact.

- Gain access to best practices and lessons learned from similar organizations that have implemented processes to strengthen these aspects.
- Gain an understanding of the internal and external factors that facilitate or hinder the implementation of M&E and KM practices.
- Gain access to work methodologies and specific tools that allow for developing or strengthening their M&E and KM systems.
- Develop a better focus for the investment of time, knowledge, financial and human resources allocated to M&E and KM.

#### **Civil Society Organizations interested in influencing public policies**

- Develop a defined set of criteria for assessing the incorporation or creation of an M&E and/or KM system for their policy influence initiatives.
- Introduce new practices and knowledge created by other organizations conducting research for policy impact.
- Identify new ways to generate and share knowledge about policy influence.

#### **Policy makers interested in using research and evidence in public policies**

- Understand the potential contributions and limitations of research conducted by this type of organizations in policy development processes.
- Understand how to facilitate information and knowledge that allow for a better comprehension about the role and contribution of research to public decision-making processes.

#### **Donors who currently support or consider supporting policy influence-oriented research**

- Understand how to facilitate and support M&E and KM practices in beneficiary organizations.
- Disseminate lessons learned and tools among their network of beneficiaries.
- Develop strategic thinking about the type of support and advise they can provide to strengthen current and future M&E and KM practices.
- Re-think their role in promoting better M&E and in creating knowledge about policy influence through the initiatives they support.

### **Consulted sources and textual transcripts**

For the development of this handbook we made a bibliographical review on M&E and KM, focusing on those referring to civil society organizations as the PRIs. We identified the papers listed in the acknowledgements section that were a fundamental source for this handbook.

Regarding our own publications, two documents produced during the project *Spaces for engagement: Using knowledge to improve public policy in favor on the poor*. They are:

- Weyrauch, Vanesa; D'Agostino, Julia; Richards, Clara y Browne, Francisca: "Tierra fértil. La gestión de conocimiento sobre incidencia en políticas públicas se asoma en América Latina", *Documento de Trabajo N°42*, CIPPEC/GDN, Buenos Aires, marzo de 2010.
- Lardone, Martín y Roggero, Marcos: "Monitoreo y evaluación de la incidencia de la investigación en políticas públicas de Institutos de Investigación de Políticas (IIPs) de la región", CIPPEC/GDN, Buenos Aires, 2010.

We translated quotes from documents written in English that have not yet been published in Spanish (see Bibliography).

# Chapter 1: Where is the region in terms of monitoring and evaluation?

A clear understanding of the current state of monitoring and evaluation (M&E) practices in Latin America is a good point of departure to frame the analysis and development of an M&E system in your organization. It is with this purpose in mind that we have included a series of opportunities and challenges that should be considered when

thinking about the current situation of the organization and the convenience of developing new M&E practices.

We have identified some opportunities and challenges that PRIs should consider when deciding how to begin an M&E process. They are presented in the table below and then explained in further detail.

• Table 1. Opportunities and challenges in monitoring and evaluation

	Opportunities	Challenges
Internal	Promote learning from experiences and improve accountability for funders.	Increase researchers' awareness of the importance of making research available to policy makers.
	Evidence-based policy impact can help PRIs improve communication.	Make the decision to formally implement an M&E process.
	Growing implementation of strategic planning.	Define and indicate the policy influence objectives of initiatives. Allocate resources to develop and implement an M&E process.
	Opportunities	Challenges
External	Funders promote this type of practices.	Make M&E in organizations an opportunity to promote and value learning through the experience of its members.
	Participation in networks.	Socialization of positive and negative experiences.
	Incorporating M&E builds a stronger position for PRIs and increases fundraising potential.	Confidentiality policies of some internal cooperation agencies and governments can limit the dissemination of experiences. Difficulty of measuring the influence of a particular PRI on the development of a certain public policy.

Source: Own elaboration.

## Opportunities

Several PRIs start implementing M&E tools and mechanisms based on technical and/or financial support from their **funders**. When seen from the demand-side, international cooperation organisms promote the inclusion of M&E stages into proposals of the organizations they support. This shows that for these funders it is important to learn and create lessons from the initiatives they support. An example of this is that many funding organizations invest on training and development programs in the institutions they support, i.e. International Development Research Centre (IDRC), Overseas Development Institute (ODI), Interamerican Development Bank (IADB), Global Development Network (GDN), Hewlett Foundation, and Inter-American Foundation (IAF).

Furthermore, the promotion of M&E as an institutionalized practice in civil society organizations contributes to greater **accountability and transparency**. The desired outcome of incorporating this practice is to better understand the global impact of implemented activities and programs. Indeed, in the study on 'Monitoring and evaluation of the influence of research on public policies by regional PRIs' (Lardone and Roggero, 2010) PRIs recognize that developing M&E allows them to strengthen their reputation and to **obtain new funds** to secure the sustainability of programs and projects.

PRIs have a growing interest in generating **"institutional learning"**, that is, in understanding what works and what doesn't in terms of the impact that their research might have on public policies. These institutions wish to understand impact and effect in a systematic way and based on their goals. This is partly due to the fact that, in general, they have limited resources to carry out their activities. Therefore, in order to improve their performance, increasing the

### Evaluation allows us to:

- Produce information and lessons to improve our undertakings (learn from what we do and improve ongoing projects);
- Exchange visions and ideals to strengthen collective processes of social development (see and share opinions and proposals);
- Communicate the outcomes and lessons learned from the activity in order to re-address actions and strengthen the management capabilities of the organization and of other groups that could improve their work based on our experience;
- Develop programs and policies, organizational learning, transparency and accountability;
- Generate knowledge about good practices.

Source: Bombarolo and Tamargo (2003).

effectiveness and targeting their policy influence activities is critical. The extension of the culture of accountability has also increased the need to develop M&E within organizations.

By keeping track of their policy influence activities, organizations understand ongoing projects and their impact, past achievements and challenges ahead. Based on this information, organizations can improve their **communication skills** and build a reputation as relevant social actors and not only as suppliers of technical evidence for decision making. This can be done from within the organization: those responsible for monitoring and evaluating policy influence activities should work together with researchers to bring views, ideas and options to decision makers.

The growing implementation of **strategic planning** in these institutions represents another opportunity to undertake M&E. Although several

organizations in the Region use this methodology, a substantial effort is needed to match the process of implementing work plans with M&E formal tools and methods. However, the existence of these plans stands as an opportunity to introduce M&E practices.

Another opportunity to generate M&E practices comes by **participating in networks**, where organizations share any progress made in their joint activities with one another. By working together, organizations add reasons for monitoring and evaluating their activities and learn from peers.

Finally, **technology** can facilitate the introduction of M&E into this type of organizations. There are several software programs that help monitor the outcomes of policy influence projects, such as Customer Relationship Management (CRM), Microsoft Project, and Management Project. Microsoft Office tools such as Excel and Access can also be used to follow-up on contacts and feedback from target audiences.

**Monitoring and evaluation plans can be useful to:**

- Agree on how to measure a program's performance and accountability;
- Document consensus and provide transparency;
- Set a general criteria around the effectiveness of completed programs (Recapitulative Evaluation);
- Guide the implementation of monitoring and evaluation in a standardized and coordinated manner;
- Improve the development and execution of an on-going program (Formative Evaluation);
- Preserve institutional memory.

Source: Own elaboration

## Challenges

The first challenge consists of deciding to **formally introduce M&E** of policy influence actions in the organization, something that implies an internal cultural change. Based on cases analyzed in the Region (Lardone and Roggero, 2010), we can state that support from the Executive Directors of the organization is essential to put the process into practice and for it be adopted by the members of the institution. By means of surveys, we have found that in order to encourage this change, it is necessary that researchers, who are used to limit their work to the production of academic output, start noticing the importance of taking the evidence gathered to the hands of those who make public decisions.. For such purpose, researchers must undertake this responsibility by themselves or this task must be carried out by staff members in charge of developing evaluation, monitoring and policy influence plans. In both cases, **researchers must be or become aware of the importance of “translating” their research** findings and sharing it with audiences outside the academia. To achieve this, management must change the concept of monitoring and evaluation in the organization.

As in most of cases, M&E practices are considered means to control and supervise staff actions; hence it is difficult to get cooperation and motivation from researchers. The challenge for the organization leaders consists of conveying M&E as an **opportunity to promote and appreciate the learning process** through their members' experience. By successfully confronting this challenge, a new organizational spur may arise—one that is related to the specification of the policy influence goals (institutional and/or by project or program).



In general, all organizations establish policy influence goals which pertain to their missions and which can set priorities in all their projects. However, there may be cases where some projects indicate specific policy influence goals which may not correspond with the priorities of the organization. In these cases, it is most important to prevent a lack of contribution by the project goals to the goals of the organization or, what would be worse, a contradiction among objectives. Here, a political decision by the organization is essential so as to **link M&E with already established practices for the definition of goals** so that M&E can effectively be an input in the creation of new knowledge.

Different types of resources are required to implement an M&E process: human, knowledge, financial, technological, and internal political support. While many institutions mention the lack of resources, in many cases it is a question of reallocating existing ones. For example, stages for monitoring and evaluating the impact of planned outcomes are not included during project development. When this happens, once project activities are completed, not enough funds or human resources are available to monitor their policy impact. In addition, several organizations do not have qualified and/or appointed staff to monitor and evaluate policy influence activities despite the fact that developing such areas requires time and money.

Moreover, even organizations that adopt and learn M&E techniques under pressure from their funders find it difficult to internally value this knowledge and might not apply such tools in projects without their funding. There are, however, other cases where staff members believe that M&E practices contribute to the organization, for example, because they are an advantage when requesting international co-operation funds. In spite of this rather discouraging diagnosis, we emphasize that, in many cases, the limitations on resources can be solved by means of **reallocation**. It is possible to demonstrate the existing capacities in the organization and present the outcome of policy influence activities carried out by the organization.

The **socialization of experiences**, whether positive or negative, is usually a challenge to organizations. When we have the opportunity of recording an experience, and particularly in those cases where the expected results are achieved, it is easy, or evident, to know what to do so that everyone can learn about our success. But we not only learn from positive experiences. Activities that do not yield the expected outcomes may also be useful to improve our interventions. Such experiences indeed allow for communicational improvements: detecting mistakes, obstacles and miscalculations are not common practices within organizations, even in those with sophisticated accountability processes.

### Change theory: impact, monitoring and evaluation practices

Some bibliography on M&E recommends that organizations review change theory to plan and evaluate their interventions.

Change theory derives from several hypotheses about how contexts work. These suppositions could be implemented in an implicit or explicit way by the organizations when designing their programs and projects.

Planning tools such as the “logic framework” assume stable, unchanging contexts in order to be able to define a problem in a certain way. Therefore, it is considered that neither the products, results, relevant impacts nor the working plans involved should be changed as time goes by.

However, such linear models have been frequently questioned, especially in the public policy field. As indicated before, several organizations ascertain that in a complex and chaotic world, as is the world of politics, it is not possible to evaluate the influence of their actions because of the impossibility of determining their activities, products and expected results. Consequently, under the theory of change, which supposes unstable contexts as prevailing in Latin America, tools such as the Outcome Mapping are preferred. These tools allegedly facilitate the comprehension of changes in current contexts and a continuous identification of new opportunities, instead of past analysis.

Source: Own elaboration

We must also take into account the fact that many governments and international cooperation organizations have **confidentiality policies** that establish restrictions to the entities they finance in regard to the information that they can disclose. On the one hand, these policies obstruct access to information that may contribute to the evaluation of the activities undertaken. And, on the other hand, they prevent the socialization of experiences among organizations.

Last but not least, it is usually stated that **policy influence is difficult to assess**. The process of developing public policies in Latin America is multi-causal and involves multiple players. This makes it difficult to determine the actual degree or level of policy influence of a single organization. In fact, the attribution problem is always present when M&E activities of influence on public policy are conceived and designed. A change in public policy is rarely solely the result of the intervention of a single player, or even less, of a civil society organization, in this case, ours. Nonetheless, although we can identify

the other forces that may have contributed to the results, the attribution of specific responsibility –and liability– remains uncertain.

As suggested by Lardone and Roggero (2010), in order to think about policy influence under this frame of mind, it is necessary to suppose that there is an agenda which belongs to organization A and another agenda which belongs to government X or Y so as to determine in what way the policies adopted by X and Y are similar to the agenda proposed by A. In this sort of exercise, we require a series of assumptions which are not empirically sustainable or testable (Lardone, n.d.). As Braun and colleagues (n.d.) well state, this idea is related to the fact that the PPIs are some kind of “hidden participants” within the policy process, whereas the decision-making process in the formal areas by political parties, legislatures, and executives is transparent. In this regard, Abelson (2002) claims that the main methodological problem in assessing influence is that political players, aside from academic players, have different perceptions

of what constitutes influence and how it can be assessed. In addition, as the *policy-making* community gets more complex and populated, it becomes ever more difficult and useless to trace the origin and path of a certain policy.

We have, so far, mentioned several opportunities and challenges that organizations have in regards to implementing M&E processes for policy impact.

Based on them, in this handbook we shall try to show how to seize the opportunities and overcome or mitigate the challenges that arise. In **Chapter 2** we will describe the different steps needed to design an M&E plan and strategy of policy influence, and in **Chapter 3**, we will address the tools that can be used in each stage.

## Chapter 2. M&E Plan and strategy

---

By posing some questions and answering them, and based on the preceding analysis of opportunities and challenges, we present the following key concepts of an M&E process and some reasons for implementing it in the PRIs. At the end of this chapter, we suggest one of the possible models for an M&E process with each of the phases and the suggested tools.

### A key decision: Do we want to monitor and evaluate our policy influence?

The challenges and opportunities described in **Chapter 1** are a starting point to internally think about the opportunity and convince others of having a monitoring and evaluation (M&E) system. In addition, each PRI can consider in what way the analyzed aspects are actual opportunities or challenges in their own organization.

If the opportunities and advantages are attractive, the organization can be convinced that it would be valuable and useful to design and implement an M&E system. However, useful does not always mean possible. Only if the challenges can be approached, it is possible that the organization may decide to take the first steps towards an M&E culture to better measure its policy impact and learn to strengthen it.

In addition to a decision by the institution's management, it is important to have the consent of all those who can contribute with their daily work to create and implement a good M&E system. For this, it is essential to consider that the first stage, called "diagnosis", can be used to detect who may have a primary role in the initiative and where the main obstacles for its effective implementation could be found.

### Key definitions: what do we understand by monitoring and evaluating our policy influence?

The challenges and opportunities described in **Chapter 1** are a starting point for internal thinking about the opportunity and convenience of having a monitoring and evaluation system (M&E). Moreover, each PRI can ask itself in which way these challenges and opportunities are such in its particular organization.

The first step consists of agreeing on what is internally understood by monitoring and evaluation. For this, each institution, according to its interests and capabilities, should prioritize certain aspects and disregard others so that it adopts a M&E system that best suits its institution.

To contribute to this analysis, we suggest considering the following key definitions:

**Monitoring** is the revision of a project's progress. It requires the continuous assessment of the degree of compliance with established activities (effectiveness) as well as with the resources available under the allocated budget (efficiency). This follow-up on what is being done to have an influence and its comparison with the programmed objectives is the main goal of the monitoring process. In this way, it becomes a tool that produces information about the progress status of the project's influence, which is highly useful information in the regular decision making process.

The follow-up process constantly provides information on the progress level recorded towards the achievement of results (outputs, direct effects,

**Tips**

In order to achieve the institutional support necessary to successfully conduct an evaluation process, it is suitable to:

- Describe the purpose of the evaluation.
- Identify those interested in conducting it.
- Specify why the evaluation would be conducted and how its findings would be used.

Source: UNFPA (2004).

objectives) by means of information recording systems and submission of regular reports. It observes the evolution of the pragmatic processes (the transformation of input into outputs by means of activities) and the changes made in the groups and institutions that they are addressed to, as a result of the project activities. It also determines the strengths and weaknesses of a project. The information about the performance increases learning by means of the experience and improves the decision-making process.

**Evaluation** is a management instrument that is applied to answer certain questions and provide guidance to decision makers. It is also used to obtain information necessary in determining whether the basic theories and hypothesis underlying an organization, program, or project are valid. To do this, it examines the degree of compliance with the desired effects in each undertaking, and the causes that may explain the achieved results. The goal of the evaluation is generally to determine the relevance, efficiency, effectiveness, effect and sustainability of an organization as a whole and/or a specific program or project.

In addition to these definitions, it is also important to discuss and agree on the reasons why the evaluation will be conducted. If its purpose is unclear, the evaluation may not focus on the right questions or may lead

to mistaken conclusions and useless suggestions for those who are expected to apply its findings.

Follow-up and evaluation are closely connected management tools. They are both necessary to provide judgment criteria to the decision-making process and they are both crucial for strong accountability. Neither can replace the other. They both have the same stages and, however, they create different types of information. The systematic generation of follow-up data is essential to achieve effective evaluations.

## Stages for the design of an M&E system of influence on public policies

Once the organization is aware of the importance and advantages of the M&E of its policy influence, it will probably decide to start a process of creating or improving its own practices.

For such purpose, below we will describe a series of steps that can contribute to the design of an M&E system of influence on public policy. As the suggested steps and tools are not equally useful to all organizations and cannot be applied in every case, each PRI should determine which ones best suits its needs and possibilities.

To sum up, the process is divided into four stages: a **diagnosis** of the organization's capabilities and needs, the **planning** of the M&E implementation, the

**Tip**

Provide core **information** regarding the current background and status of the initiative under evaluation, including: its goals, strategies, management processes, duration, budget, and main stakeholders (such as donors, associate members, and executing agencies).

execution of the **monitoring** activity, the **evaluation** of the initiative.

## Stage 1. Diagnosis

In this first stage, we will focus on inquiring about the internal matters of the organization and its teams to know about their interests and attitudes regarding the potential M&E system. This exploration will also allow determining the political decisions that are necessary to face the internal process.

One of the first issues that organization's management should assess is the level at which they intend to apply M&E. As specified by Ingie Hovland (2007), "the **difference in levels between projects, programs and institutions** needs be taken into account when choosing an M&E approach" (bold letters not original). In fact, evaluating the overall impact of the research made by PRIs is different from monitoring and evaluating the policy influence of a specific project with certain duration.

Another aspect to be considered is whether there are **explicit definitions of the policy influence goals** of the projects and programs, and even, the institution. In fact, an effective M&E system requires previously establishing policy influence goals. This means to have a written and consensual drafting of the goals when the project or program is being designed, or more general goals when the entire institution is under evaluation.

As mentioned by Weyrauch and Selwood (2007) in the handbook *Weaving global networks*, some public policy goals may be:

- To establish an issue in the policy agenda.
- To increase the use of research and evidence in decision-making processes.
- To enrich the analysis and debate on specific policy issues.

- To increase the participation of civil society organizations in policy discussion and definition processes.
- To promote a new policy.
- To include options and proposals in the policy formulation.
- To promote reforms in existing policies.
- To help implement policies.
- To monitor policies.
- To evaluate policies.

For the development of the diagnosis, **interviews** can be conducted in order to identify the capabilities that the organization's members Vis a Vis planning and implementing policy influence actions in general (communication, resources, etc.).

It is also useful to identify existing policies, processes and routines that may facilitate the M&E process (for example, if daily press clippings are available or if the achievements related to policy influence are included in staff evaluations). To this end, members of the organization may be interviewed and, if available, all existing **systematized information may be gathered**.

Another tool that may be used if there is less time and fewer resources for the elaboration of the diagnosis is the **SWOT matrix**, described in **Chapter 3** and on which an exercise is enclosed as an example in **Annex 1**.

The results from the interviews and the systemized information, as well as the possible development of the SWOT matrix, should be presented to Directors so that they can decide about the necessary and possible allocation of resources to design and implement the internal M&E process of policy influence. In **Annex 2**, there is an example a form or guide to develop a diagnosis of organizational capabilities for M&E.

Once Directors reach an agreement and determine the main policy influence goals that they intend

to monitor and evaluate, and after reviewing their viability depending on the amount of resources available (staff time, technology, knowledge, financial resources), it will then be possible to define the number of initiatives and levels to survey.

With this “inventory” at hand, it will be easier to determine the scope of the implementation so that it can be viable and appropriate according to the true possibilities of the organization. That is to say, the inventory will help to determine whether the M&E of policy influence will be applied to all or some of the programs and projects, and/or the organization itself.

## Stage 2. Planning

Once the scope of the M&E of policy influence has been determined, a decision is needed as to

whether an **internal or external evaluation** will be conducted and, according to this; the **design of the working plan** should be made.

### *Who are in charge of conducting the evaluation process?*

Firstly, we must define who, among the staff, will be in charge of conducting the activities.

The organization’s members can participate in the M&E process as coordinators, evaluators and/or suppliers of information. However, it is essential to clearly specify the roles and responsibilities of each stakeholder. Those in charge of monitoring may belong to the organization or not. In **Table 2** below, we mention some advantages and disadvantages of conducting internal and external evaluations.

#### • Table 2. Advantages and disadvantages

	Advantages	Disadvantages
<b>Internal Evaluation</b> (done by a team or person with the staff body)	<p>The evaluators are familiar with the work, the organizational culture, aims and objectives.</p> <p>Sometimes people are more willing to speak to insiders than to outsiders.</p> <p>An internal evaluation is very clearly a management tool, a way of self-correcting, and less threatening than an external evaluation. This may make it easier for those involved to accept findings and critiques.</p> <p>An internal evaluation will cost less than an external evaluation.</p>	<p>The evaluation team may have a vested interest in reaching positive conclusions about the work or organization. For this reason, other stakeholders such as donors may prefer an external evaluation.</p> <p>The team may not be specifically skilled or trained in evaluation.</p> <p>The evaluation will take up a considerable amount of organizational time – while it may cost less than an external evaluation, the opportunity costs may be high.</p>

<p><b>External evaluation</b> (done by a team or person with no vested interest in the project)</p>	<p>The evaluation is likely to be more objective as the evaluators will be impartial.</p> <p>The evaluators should have a range of evaluation skills and experience.</p> <p>Sometimes people are more willing to speak to outsiders than to insiders.</p> <p>Using an outside evaluator gives greater credibility to findings, particularly positive findings.</p>	<p>Someone from outside the organization or project may not understand the culture or even what it is trying to achieve.</p> <p>Those directly involved may feel threatened by outsiders and be less likely to talk openly and cooperate with the process.</p> <p>External evaluation can be very costly.</p> <p>An external evaluator may misunderstand what is wanted from the evaluation and may not provide what is sought.</p>
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Source: Janet Shapiro (n/d).

**To take into account:**

It is necessary to **establish the terms** under which the evaluation records will be collected, as well as the goods and services which are expected to be created by the evaluator. These conditions must be agreed among the persons in charge of the evaluation and organization (especially when an external evaluator is involved).

- The **tools** which will be used to collect the necessary information to monitor the activities.
- The characteristics that the **preliminary monitoring reports and the final evaluation report must have**.
- The working **schedule** and **persons in charge** of each activity and/or component of the M&E plan.
- The **budget** and the necessary resources to implement the system.
- The **addressees** who will be notified about the progress of the project and the subsequent evaluation.

*What is an M&E plan?*

A **summary of the diagnosis** conducted during the initial stage, which support the design of the plan.

- The **general strategy** of the M&E of policy influence, including the goals, levels and components which will be under evaluation.
- The **indicators** which will be considered for the evaluation (by project, program and/or institution).

In **Annex 3**, we provide a sheet for the elaboration of the M&E plan. In the following paragraphs, a more detailed explanation of each component of the plan, grouped by subject, is provided.

*Overall strategy*

The definition of the **general strategy** of M&E implies taking accurate decisions about what the monitoring and evaluation processes will focus.



As previously explained, we think it is essential to detect, establish and/or review the policy influence goals that will be used as a basis for the work. Such goals can belong to the organization itself, the program and/or the projects. Sometimes, these goals may be identical or similar. Other times, a lack of consistency between the different existing goals may be noticed, thus, the design of the strategy may be a useful stage to review the strategic planning practice/s by which these types of goals are usually established.

A study made by Lardone and Roggero (2010) focused, precisely, on detecting the extent to which M&E was actually related with the PRI's strategic plan. The authors tried to find out if M&E allows the incorporation of feedback within the planning process, or if such practices adjust to the objectives established during the planning phase. The study concludes that "even though there are some practices in this regard, we have not found or identified clear mechanisms that relate the planning process with the M&E of policy influence, at least not in a structured and systematic way".

Hence, the revision of policy goals at different levels is an opportunity to also reconsider the **strategic**

**planning practices**, and a possibility of including in them the knowledge created through the M&E process.

As part of the M&E strategy and according to the diagnosis made, the institution must then choose which goal/s and level/s it will focus on. In addition, in order to select the appropriate **indicators**, it will be necessary to decide, within each level, if there will be monitoring and evaluation of products, activities and/or impacts, as summarized in Table 3 below:

• **Table 3. M&E process goals by levels**

<b>Goals</b>	<b>Project</b>	Outputs
		Activities
		Impact
	<b>Program</b>	Outputs
		Activities
		Impact
	<b>Organization</b>	Outputs
		Activities
		Impact

Source: Own elaboration.

### Tips

Define the range and focus of the evaluation. Considering the stakeholders' opinion, the main goals and matters of the evaluation must be identified according to the evaluation criteria, such as: relevance, validity of the design, effectiveness, efficiency, sustainability, and impact, factors that affect performance, alternative strategies and unexpected results.

Source: UNFPA (2004).

By outputs we refer to the tangible goods and services that a research project/program/institution produces (e.g. working papers, journal articles, policy briefs, etc).

**Activities** are the usual processes and types of intervention developed to influence public policy, including public campaigns, alliances, courses and trainings, among others.

Finally, and following Hovland (2007: 27), **impacts** are those "changes in behavior, knowledge,

capacities and/or practices that the research has contributed to, directly or indirectly” in the process of the definition of public policies.

Another important aspect of the M&E strategy is the **participatory or conventional nature** of the methods it uses. This is commonly related to the reasons that lead the decision to implement an M&E system. If the organization wants the system to primarily establish criteria over the effectiveness of its

interventions, it will probably choose a conventional method, rather than a participatory method. On the other hand, if the priority is the creation of new knowledge for those who put the projects into practice, it is probable that a participatory methodology will be selected.

The main differences between conventional and participatory principles are shown in **Table 4**.

• **Table 4: Main differences between conventional and participatory principles of M&E**

Conventional M&E Principles	Participatory M&E Principles
Their aim is to establish criteria about the project in order to assess accountability rather than empowering stakeholders in the project/program/institution.	They constitute a process of individual and collective learning and institutional capacity development. People become more aware of their strengths and weaknesses, their wider social realities, and their visions and perspectives of the consequences of complying with the project/program/ institution. This learning process creates conditions that lead to changes and actions.
They seek “scientific” objectivity of monitoring and evaluation findings by distancing the external evaluators from stakeholders.	They emphasize different levels of participation (from high to low) of several types of stakeholders at the start of the monitoring and evaluation process, while defining its parameters and during its development.
They tend to emphasize the need for information of projects/ programs/institutions funders and policy makers, rather than program implementers and people affected by the initiative.	They represent a social process of negotiation between people’s different needs, expectations and worldviews. They are a political process whereby issues related to equity, power and social transformation are addressed.
They are focused on measuring the success achieved according to predefined indicators.	The measure of success consists of a flexible process under continuous evolution and adjustment to the specific circumstances and needs of the initiative.

Source: Marisol Estrella and John Gaventa (1997).

Even though more time and resources are utilized **participatory M&E** processes present great potential to the organization (Aubel, 1999; Estrella, 1997):

- They give stakeholders a sense of ownership over M&E results, promoting their use to improve the decision-making process.
- They allow a better understanding by stakeholders of their own program strategies and processes; what works, what does not work and why. By means of self-assessment, they identify and solve by themselves problems related to the project /program/institution, and contribute to their strengthening. This also helps to assert the functions of each stakeholder.
- They help improve communication and collaboration between players who work at different levels of implementation.
- They strengthen accountability to donors by providing more extensive and complete information.
- They may allow several stakeholders to express their needs, preferences and expectations. The dialogue and negotiation process among stakeholders used in participatory monitoring and evaluation facilitates reconciliation of different points of view. However, factors that may obstruct the reconciliation of competing and conflicting points of views may arise, mainly when certain groups of stakeholders become more powerful than others.

### *Indicators*

The selected strategy will give way to a range of **indicators** to be used. Indicators can be **products, outcomes** or **impact**.

Indicators are only one of different instruments that allow to measure inputs, processes, products, outcomes and effects of projects, programs or strategies. They can be used to establish performance

goals and to evaluate their progress, to identify problems by means of an early alert system so that corrective measures may be adopted and/or to determine if an evaluation or deeper examination is required (World Bank, 2004).

It is important to point out that the establishment of an appropriate group of indicators to closely follow-up the initiative is an iterative process which allows its improvement and adjustment, as well as the revision of the performance objectives. This is particularly applied to the initial moments of the process, as the referential data availability increases.

Indicators should be practical and, measures should be adopted to establish and financially support the necessary data collection systems (means of verification) (UNFPA, 2004). For example: those in charge of monitoring a project should have the original working proposal and the schedule of project objectives in order to know which are the most important moments of its execution. With this information, the main monitoring activities can be selected as well as the moments where a reform to the original schedule might be necessary.

### *Tools*

In **chapter 3**, there is a detailed description of a series of tools that can be useful to conduct an M&E in its different stages. In this section, we focus on the criteria that should be considered when selecting them.

According to the Kellogg Foundation (in UNFPA, 2004), there are some criteria which can guide the selection:

- Determine which of the available data collection methods can best answer key evaluation questions.
- Select methods that facilitate the participation of the key stakeholders of the program, projects, and organization.

### Tips

- Specify the **methodology**. Describe the instruments for gathering information and the analysis methods.
  - Establish a **list of information sources** appropriate for the evaluation, such as follow-up reports.
  - Describe a **working plan for the evaluation**. Specify the functions and responsibilities of the evaluator; explain the specific tasks to be performed, as well as the deadlines. State the addressees, the information required and when it will be requested, the type and terms of the written reports and oral information, how the findings will be disseminated and specify the addressees.
  - Specify the **detailed budget** of the evaluation (consultancies fees in case of external evaluation, logistic and administrative services, among others).
- Combine, where appropriate, several evaluation methods in order to increase the credibility and usefulness of evaluation results.

- Assess if the selected methods can be developed with the available resources. The outcome of this analysis may mean revising the evaluation design and methods, selecting other options to adjust to the budget, or finding additional resources to finance the design of a more effective and convenient evaluation.

The questions included in the evaluation process of **Annex 2** will help consider and decide how to apply M&E of policy influence. That is to say, we will try to find the most appropriate tools for the type of information we want to collect. The tools that are initially selected may vary through the M&E process. They must also be compatible with the capacities that we have as an organization in order to put them into practice and keep them over time.

It is very important to highlight that selecting and implementing M&E tools is a step that should be closely related to the previous decisions regarding the evaluation focus (product/activity or overall impact), the aspects under evaluation, and the selected indicators. **Table 5** takes this into account the products and activities that differentiate PRIs.

• Table 5. Products and activities related to the evaluation focus

Evaluation Focus	What can be evaluated?	Aspects to evaluate	Indicators (examples)	Examples of tools
Outputs	Papers or research reports	Quality, clarity, relevance, usefulness	Quotes in legislative sessions, feedback from external evaluators, inquiries from public officials.	External Committee of Evaluation
	Policy Briefs or public policy documents	Clarity of identified problem, suitability of proposed solution, relevance and opportunity for public policy	Quote or use in a program or law, public official inquiries, organized or called meetings to discuss the problem in depth.	Interviews to targeted public officials
	Blogs/web sites	Website browsability, quality of content, feedback from relevant actors	Number and profile of visitors, number of downloaded documents	User interviews
	Publications	Quality, clarity, relevance, usefulness	Invitations to present publications, quotes in public documents, inquiries from public officials	Analysis of quotes, reader surveys
	Seminars/events	Level of assistance, quality of the debate, profile of external presenters	Number and profile of assistants and presenters	Participant and presenter surveys, after action reviews
	Press clippings	Projected image of institution/ research, correlation between plan and actual publication	Number and type of published articles, profile of publisher	Media clippings
Activities	Public policy research and analysis	Relevance, usefulness, quality		Interviews
	Training of public officials and other relevant actors	Relevance, quality, usefulness		Evaluation from participants, post-training inquiries
	Getting an issue on the public agenda		Media coverage	
	Promotion of new public policies	Reach	Number of meetings granted, number of presentations in external events, etc.	
	Formulation of new public policies			Questionnaires
	Promotion of new public policies			
	Technical assistance for implementation of public policies			Participant observation

Evaluation Focus	What can be evaluated?	Aspects to evaluate	Indicators (examples)	Examples of tools
Activities	Monitoring and/or evaluation of public policies			
	Creation of new networks/ alliances	Level and intensity of participation, sustainability, governance, etc.		Network annual evaluation

Source: Own elaboration.

In the case of evaluations focused on impact, according to Evert Lindquist (2001), there are three types of policy influence, which can be measured using the indicators and tools of **Table 6**.

• **Table 6: Impact evaluation according to types of influence, indicators and tools**

Types of influence	Indicators and tools
Expanding policy capacities	Improving the date/knowledge of certain actors
	Supporting the recipients to develop innovative ideas
	Improving capabilities to communicate
	Developing new talent for research and analysis
Broadening policy horizons	Providing opportunities for networking/learning with colleagues elsewhere
	Introducing new concepts to frame debates, putting ideas on the agenda, or stimulating public debate.
	Educating researchers and others who take up new positions with broader understanding of issues
	Stimulating dialogue between decision-makers
Affecting policy regimes	Modifying existing programs or policies
	Fundamentally re-designing programs or policies

Source: Own Elaboration

### *The importance of when, who and with what*

It is important to specify in the **schedule** the moments when monitoring progress reports will be submitted (if established) and the suggestions for modifications of the course of actions by the **persons in charge** of coordinating the initiative and by other stakeholders, as previously mentioned.

Once those interested in the initiative and its impacts have been identified, it is also convenient to choose types of participation in order to facilitate their interaction.

The resources necessary for the implementation should be budgeted using the working schedule (human and financial resources, working materials, etc.).

### Stage 3: Monitoring

In this third stage, the plan designed in stage 2 is put into practice. The monitoring process is a periodical activity that must comply with the terms and activities established in the working schedule, and must record in detail the outcomes obtained from the interaction with the involved social players.

In other words, the following activities and tools must take place:

- **Context Analysis.** We will start the monitoring process with a description of the context where the activity was developed, noting any changes experienced over time. This information will be very useful at the moment of the final evaluation to consider if the context has been modified by the project actions or if the context itself has had influence on the results. Some of the tools that we can apply are: most-significant change, innovation histories and episode studies.
- **Involved players.** Once the context has been analyzed, we will define most of the players involved in the activity. At the moment of analyzing the impact of the project actions, it is convenient to identify which players facilitated or obstructed the proposed goal. Doing this analysis throughout the initiative will show us in the final evaluation what changes took place in relation to the players involved, for example: if more were included, if some left the initiative, if we built an alliance or network with the same goal, or even if the roles of the players changed during the implementation of the initiative. In order to identify these players and changes in their position, we suggest the use of tools such as: social network analysis (SNA) and the design of a modular matrix, which can contrast the key players with the obtained results.
- **The opinion of the players.** Comments made by those responsible for conducting the initiative and by participants contribute to the understanding of the activity and the informal details that are faced during its development. Listening to the opinion of players delivers many lessons, related to administrative, logistic, planning, and public relations issues. Thus, internal communication is very important to complete the process of monitoring policy impact. Recording comments, anecdotes and feedback from the initiative's internal and external players contributes to a better evaluation.
- **Progress and final report.** The elaboration of progress reports is a useful and frequent tool as it allows reviewing the design of the evaluation process itself. To this end, it is useful to always include in the working schedule the terms on which the reports must be drafted. This will facilitate an improvement of the subsequent M&E stages, and will later contribute to the final report of the initiative (stage 4).

## Stage 4: Evaluation

This last stage entails closing the monitoring process to prepare a final evaluation report about the experience of policy influence. One of the most important goals to develop internal capacity in the organization is to recognize or detect the **lessons learned** during the implementation process of the initiative.

As monitoring reports are systematized, it is possible to work on some problematic points in the development of a process of policy influence, and to find out the applied “solutions”, whether they worked or not. Lessons are not always learned from successful processes; a situation that is difficult to solve may lead us to try different alternatives, which may end in the solution (or not) of the problem. These experiences should be shared with the organization members, with any other audience related to the policy influence process and with any organization that in the future may be related to such process. We recommend reading **Chapter 6** of this Handbook to learn about different models of experience and knowledge exchange. In it, we present different knowledge management tools.

The roles and responsibilities of the evaluation were defined in stage 2. Evaluations may take different forms or become more complex, as long as the organization has the adequate resources to carry it out.

Below we describe some **evaluation models** by increasing order of complexity.

- **Ex post contrast between goals and results.** The policy influence goals to be evaluated were defined in stage 2 of the M&E process. In many cases, organizations begin by simply asking those who executed the completed initiative about obtained results. The analysis consists in contrasting the proposed goals with the impact of the

actions performed. There is a collection of ex-post data which – when properly registered and recorded – may lead to lessons that are useful in future projects. Reviewing implemented actions is a very helpful tool for this type of evaluation. If possible, a meeting may be arranged with colleagues or peers from other organizations who can help us learn lessons and develop recommendations from the initiative.

- **Permanent contrast between goals and results.** To the ex post evaluation, we can add a monitoring phase of the activities during the execution of the initiative. This analysis remains a one-way analysis because the information used to evaluate the policy influence results comes from the executors of the initiative. This model presents three basic moments of monitoring. They are: i) the moment prior to the start of the project interventions (base line or initial status), ii) during the execution, especially in some objectives, and iii) at the end of the project, for the evaluation of the obtained results (same as the previous model, the ex-post evaluation). As in the previous evaluation type, on each of these three moments, we contrast the proposed goals with the progress status or the result of the policy influence activities. The advantage of including these two additional moments of data compilation is that the project course or plan of action may be modified if we find significant deviations from the proposed goals. Each one of these three moments contributes to the final evaluation, which will produce lessons on the experience. To the tools mentioned in the previous type of evaluation, we can add interviews to the players involved in the initiative and the compilation of existing documents of systematized information in order to create a clearer idea about its progress.



- **Incorporation of multiple perspectives.** To the second type of evaluation, we can add the perspective of other players involved in the initiative, which may be beneficiaries, local social players, decisions makers, means of communication, businessmen, etc. Interviews are a way to approach these players and learn about their views. You may choose from different types of interviews described in ‘Tools’ by taking into consideration time and available human and financial resources in your organization (see **Chapter 3**). The final evaluation report will thus involve contrasting views about its results from the different players that were involved in the project.

For every type of evaluation, the evaluator must present a report including all the findings, conclusions and recommendations. The report shall be concise and brief. During the drafting process, the project coordinator shall provide feedback and examine the quality of the M&E results. In addition, a report to the different players involved in this initiative must be submitted for examination. The initiative coordinator and the users of the report shall consult the findings, conclusions and recommendations and give their opinions about the report project to the evaluator before finalizing it. Those consulted may provide new perspectives about the meaning of the evaluation results or add information to rectify possible mistakes.

In the **final evaluation document of policy influence**, a comparison will be made between the initial planning, included in the initiative proposal, and what was achieved during the implementation phase. The monitoring reports sent to the organization members in charge of the initiative will be an essential element for the final report. Although the document may be for internal use, it is advisable to disseminate the

experience among the different audiences involved in the process during its implementation. If a periodical monitoring of policy influence activities has not been performed, it will be more difficult to prepare the final evaluation report because more time will be required to collect and systemize the necessary information to evaluate how the proposed policy influence goals have or have not been accomplished.

The dissemination of the evaluation results does not guarantee the application of the recommendations or the good use of the lessons learned. It is necessary to perform a dynamic follow up in order to apply the recommendations given to the managers of the initiative and to include lessons learned in future decision making processes, such as the formulation of a new project, program or institutional changes. It is precisely here where the knowledge management becomes a crucial dimension. Some suggestions for disseminating the final evaluation report are included in the following section on KM tools in **Chapter 6**.

At the end of the evaluation, the coordinator should organize a meeting with the people and institutions involved in the project in order to elaborate an implementation plan based on the recommendations obtained by the M&E, including a timeline and the people responsible for it. The higher the number of stakeholders involved in planning future actions, the greater the probability of success. The evaluation coordinator should supervise implementation and thus encourage the use of the evaluation results.

Upon the end of the evaluated initiative, it is important to promote the use of the lessons learned in similar initiatives or in other organizations working on similar matters or which could face similar challenges. The dissemination of the systematized experience will contribute to the development of other initiatives and organizations.

## M&E principles: how to guarantee their usefulness, viability, origin and precision

Certain quality standards must meet in order for the monitoring and evaluation process to be useful. The international community of evaluators has set rules for conducting fair and well-grounded evaluations, which may be applied while planning the

evaluation and throughout its execution. Some of these rules are considered universal, while others are culture-specific and so they must be adapted to the particular field in which they will be applied.

Below we present the rules defined by the international community (Shapiro, n/d), which are organized around four elements that every evaluation must take into consideration.

► **Utility rules.** They guarantee that the evaluation is based on the users' needs for information. These rules are:

**Identification of stakeholders.** It is essential to identify the "interested" individuals groups and institutions; that is to say, those related to or affected by the evaluation. In order to reflect their needs and interests, the parties to be consulted are:

- Those who decide about the future of the project, program or institution (usually, the financing entity).
- Those responsible for the planning and design of the project, program or institution.
- Those involved in the implementation of the project, program or institution.
- Those directly or indirectly affected, now or in the future, by the project, program or institution (target-groups and their social background).
- Other groups interested in the evaluation findings (for example, those in charge of making decisions in similar programs, evaluators and the general public).

**Credibility of the evaluator.** The parties in charge of conducting the evaluation must be reliable and competent so that their findings can reach the maximum level of credibility and acceptance. The following characteristics are crucial to gain the trust of interested groups in the evaluation findings: professional competence, integrity, independence, and social and general communication skills.

**Data selection.** The gathered information must be broad enough to respond to all the appropriate questions related to the project, program or institution, as well as the demands and needs of the stakeholders. When planning an evaluation, it is also important to discriminate the essential information from that which is convenient.

**Assessment transparency.** The perspectives, grounds and procedures used for the interpretation of the findings must be carefully described in order to clearly establish the basis for making value judgments.

**Clear reports.** Evaluation reports must clearly describe the project, program or institution subject to evaluation, including their context, as well as the goals, questions, procedures and findings of the evaluation. The language must be accurate (for example, clear definitions of the most important terms and a homogeneous use of terminology) and easy to understand by the intended addressees.

**Timely reports.** Important findings and final reports must be submitted to users so they can use them when appropriate. Evaluations may be very useful when planned taking into account the decision-making processes of the stakeholders. In many evaluations, it may be important to disclose intermediate findings to the stakeholders, especially when those findings may have repercussions on future actions.

**Evaluation effects.** The evaluation planning, conduction and reports must encourage different levels of participation by stakeholders in order to increase the possibilities of using the evaluation results. The greater the intervention by stakeholders in the different stages of the evaluation process, the greater the probability of applying the recommendations.

► **Viability rules.** They guarantee that the evaluation will be carried out in a pragmatic, reflexive, prudent and effective manner based on involved costs. These rules are:

**Practical procedures.** While gathering the information required, it is important to use practical evaluation methods and tools in order to cause minimal possible disruption. It is essential to examine, together with stakeholders, the advantages and disadvantages of the selected methods.

**Political viability.** Evaluations must be planned and conducted considering the different interested groups in order to reach a balance of their different views. Cooperation must be obtained and any attempt to restrict evaluation activities or influence on its results must be avoided.

**Effectiveness related to costs.** Evaluations must produce valuable information to enable decision-making, learning, an informed accountability.

► **Rules of origin.** They guarantee that the evaluation is made in a legal and ethical manner, and that the well-being of those involved in the evaluation and those affected by its results will be taken into account. These rules are:

**Formal agreement.** The obligations of the parties in the evaluation process (what to do, how to do it, who and when) must be agreed in writing so that all the parties are bound to comply with the terms stated in the agreement or to negotiate them. This written formal agreement must at least establish the budget, calendar, staff, design, method and the content of the reports.

**Protection of individual rights.** Evaluations must be made and conducted respecting and protecting the rights and welfare of people. If the conclusions of an evaluation are well grounded but constitute a threat to people's well being, it is necessary to carefully study the situation and justify the disclosure level which will be given to its findings.

**Human interaction.** Evaluators must respect the human value and dignity when interacting with all those involved in the evaluation so that participants are not threatened or harmed. In addition, practical considerations must be taken into account, such as getting acquainted with the cultural practices (that is to say, beliefs, habits and customs) of the participants.

**Comprehensive and impartial assessment.** When examining and recording the strengths and weaknesses of a project, evaluations must be comprehensive and impartial, so that findings can be used in future actions and problems can be adequately addressed. If, for any reason (for example, due to time or budget restraints), there are matters that make the evaluation difficult (for example, the impossibility of collecting certain data), it is necessary to point them out.

**Dissemination of findings.** The persons in charge of the evaluation must make sure that all the evaluation findings are available to the stakeholders and those affected by the evaluation.

**Conflicting interests.** Conflicting interests should be approached in a sincere and honest way to ensure that the evaluation process and its results are not jeopardized. Therefore, evaluators must clearly define their functions and make a distinction between the data and the opinions. Conflicting interests cannot compromise the integrity of the evaluation.

► **Rules of precision.** They guarantee that the evaluation expresses and conveys technically appropriate information about the matters that determine the value of the project, program or institution under evaluation. These rules are:

**Documents.** The project, program or institution under evaluation must be described and documented in clear and concrete terms. The description should be detailed enough to ensure an accurate understanding of the program's goals and strategies. It is highly important to establish the differences between the expected performance and the actual one.

**Context analysis.** The context of the program should be described in detail in order to determine its potential influence on the program. A clear understanding of this will allow a correct interpretation of the evaluation findings and their potential level of generalization.

**Description of purposes and procedures.** It is necessary to supervise and describe in detail the purposes and procedures of the evaluation in order to define and assess them. It is important that the evaluation process focuses on aspects that are relevant to stakeholders and at the same time achieves the highest level of efficiency in the use of time and resources.

**Justified information sources.** It is necessary to describe in detail the sources of information that will be used during the evaluation of a project, program or institution in order to determine if they are appropriate. It is essential to clearly express the selection criteria of the sources to allow users and stakeholders to interpret information adequately and identify biased information.

**Valid and reliable information.** The applied data collection procedures must guarantee that the interpretation made is valid and reliable. Validity is determined by the degree in which methodologies and instruments assess what they are expected to assess. A data collection method is reliable as long as it repeatedly generates the same results.

**Systematic revision of the information.** The information gathered, analyzed and communicated during an evaluation should be systematically reviewed and any mistake corrected.

**Analysis of qualitative and quantitative data.** Qualitative and quantitative data must be appropriately and systematically analyzed in order to effectively respond to evaluation questions. Data analysis should comply with appropriate methodological rules.

**Justified conclusions.** The conclusions made in an evaluation should be explicitly justified for stakeholders to assess them. The conclusions of the evaluation are justified when they are based on empiric findings from the gathered information. It is necessary to interpret the evaluation data in order to appreciate the practical meaning of the knowledge acquired through it. Conclusions can be positive or negative. It is important to justify controversial conclusions.

**Impartial reports.** The submission procedures of reports must avoid distortions produced due to personal feelings or prejudices of any interested group. It is necessary to guarantee the equitable representation of all the pertinent perspectives.

**Goal-evaluation.** Upon conclusion, the evaluation as such must be submitted to an assessment of the process and the evaluation quality. Thus, these and other pertinent rules must be used in order to determine its strengths and weaknesses.

# Chapter 3. M&E Tools

Below there are some tools that are useful to develop and implement a M&E process in PRIs. Several of these tools can be used for both monitoring and evaluating policy influence actions in PRIs. Others are directly connected to knowledge management (KM) as they entail generating documents that systematize experience and may be shared with other organization members or even with other organizations.

There are 18 tools that are different from each other in their utility for M&E of policy influence. In **Table 7** we include the map of tools available for each phase of the process of M&E implementation, and then, **Tables 8, 9 and 10** provide detailed information about the tools<sup>1</sup> (basic definitions, advantages, means of implementation, etc.)

**Table 8** shows the tools for the first phase of M&E (diagnosis), including a SWOT matrix, and a diagnosis based on questionnaires and interviews. In the monitoring phase presented in **Table 9** (phase 3), to the tools included in phase 1 we add: key actors interviews, in-depths interviews, questionnaires, focus groups, field workers reports, participants observations, impact logs, outcome mapping, modular matrix and software. These tools may be also useful during the evaluation phase, and their main characteristic is that they identify the modifications produced during the implementation of the program or project or the organization's life. The tools for phase 4 are exhibited in **Table 10** and they include:

• **Table 7. Monitoring and evaluation tools (according to process phases\*)**

Phase 1 - Diagnosis	Phase 3 – Monitoring	Phase 4 - Evaluation
SWOT	Key actors interviews	Innovations stories
Diagnosis based on questionnaires and interviews	In-depths interviews	Episode studies
	Questionnaires	The most significant change
	Focus groups	After action review
	Field workers reports	Rapid Outcome Assessment (ROA)
	Participants observations	Media monitoring
	Impact logs	
	Outcome mapping	
	Modular matrix	
	Software	

\* The planning stage (phase 2) it is not included in this Table as it does not entail the use of tools. Source: Own elaboration.

1 Most of the tools included in this chapter are taken from Janet Shapiro (n/d): *Monitoring and Evaluation*, CIVICUS; and UNFPA: "Toolkit for Planning, Monitoring and Evaluating Program Managers, Tool 5: Planning and managing an evaluation. Part III: The data collection process". Fondo de Población de las Naciones Unidas, División de servicios de supervisión, Nueva York.

The first phase of the M&E process consists of situational diagnosis of the PRI as it pertains to the experience of monitoring and evaluation of its influence. In this phase we concentrate on the analysis of the organization's interests and positions about the potential M&E system. This exploration will allow defining the political decisions that are necessary to start this the process internally.

• **Table 8. Monitoring and evaluation tools – Phase 1: Diagnosis**

SWOT Matrix (Strengths, Weaknesses, Opportunities and Threats)	Phase 1. Diagnosis
	SWOT analysis focused on M&E is a tool that allows the organization to identify the elements that best describe the situation of the organization in terms of M&E, and then to prioritize and build on them. Strengths and weaknesses directly refer to the organization's characteristics (internal), while opportunities and threats refer to the environment (they are external to the organization).
Advantages	Allows for prioritizing and focusing on the M&E intervention. Based on the SWOT analysis, the organization can develop strategies to take advantage of strengths and opportunities, and to minimize weaknesses and threats.
Keep in mind	Since both the internal characteristics and the external context often change over time, we recommend performing a SWOT analysis at least once a year to identify changes and obtain an updated picture.
Implementation	<p>A SWOT diagram is composed by four quadrants (two quadrants representing internal characteristics and two quadrants representing the context). Participants should know the organization and its players in order to complete the matrix. Quadrants can be completed jointly by all participants in which case you will need a facilitator to take notes (ideally on a flipchart or using a projector).</p> <p>You can also divide participants into groups; this lets each one express his/her point of view. Then each group chooses a representative to present their SWOT analysis and, finally, agree on a final version. In <b>Annex 1</b> we include an example of a SWOT analysis. For more information see Weyrauch and Selwood (2007).</p>

Diagnosis based on Questionnaires and Interviews	Phase 1. Diagnosis
	Document that summarizes the main findings resulting from a series of interviews and questionnaires to organization members. The goal is to identify the internal perceptions about the organization's current and potential capabilities to improve M&E practices. Interviews can be structured, semi-structured, or unstructured. Questions can be open or closed (yes/no answers).
<b>Advantages</b>	Questionnaires and interviews can be used by almost anyone involved in the decision-making process of developing and implementing an M&E system. They can be carried out in person, on the phone, or even by email. They can be a quantitative and/or qualitative source of information.
<b>Keep in mind</b>	<p>They can be used to ask organization members about the advantages and disadvantages they see in the implementation of an M&amp;E system.</p> <p>Interviews require certain skills in the interviewer.</p> <p>In general, the more open the interview is, the more you will understand the interviewee's feelings and points of view; the more structured the interview is, the more the data will be comparable.</p> <p>Many reports based on questionnaires present a series of facts (percentages, etc.) but do not explain people's motivations, which could be used to develop new strategies or improve practices.</p> <p>One of the first steps in an interview is to make a selection of knowledgeable people who can provide accurate and relevant information. They can be interviewed individually or in groups.</p>
<b>Implementation</b>	<p>In order to make a diagnosis of the organization, we must interview members occupying key positions in the potential development and implementation of an M&amp;E internal process. We should also consider checking with other organizations that already have some experience in this type of initiatives.</p> <p>Although interviews can be made with a closed questionnaire, it is not the best method for making a diagnosis. This type of interview provides quantitative data and uses a fixed number of questions and, occasionally, previously selected possible answers. On the other hand, in a semi-structured interview, the interviewee is asked to provide information about different points included in a checklist previously prepared by the interviewer.</p> <p>Unstructured interviews are the most useful because they allow the interviewee to include in his answers alternatives that we had not considered previously and even to open new questions. Since the interviewer only uses questions as a guideline, this type of interview provides us with qualitative data and allows us to explore and discover the interviewee's views and opinions.</p> <p>A sample is provided in <b>Annex 2</b>.</p>



The third phase in the M&E process, monitoring, is when the plan designed in phase 2, the planning phase, is applied. Monitoring is a periodic activity that must comply with the terms and activities established in the work schedule, and register in detail

the findings and results produced by the interaction with the actors involved. The monitoring tools that we provide in Table 9 are not exclusive for this phase. They are techniques for data collection that may be utilized in other phases as needed.

• **Table 9. Monitoring and evaluation tools – Phase 3: Monitoring**

Key informant interviews	Phase 3. Monitoring
These are interviews that are carried out with a subject specialist or someone who may shed a particular light on the process. They are selected according to their direct knowledge of the matter of interest.	
Advantages	As these informants often have little to do with the organization, they can be quite objective and offer useful insights. They can provide something of the ‘big picture’, while people more involved may focus at the micro levels.
Keep in mind	Requires a skilled interviewer with a good understanding of the subject matter. Be careful not to turn something into an absolute truth (a statement that cannot be challenged) only because a key informant said it.
Implementation	Once you have identified the different actors related to the proposed policy influence objectives, determine who are specialists in the topic and use this tool to interview them. The implementation of this tool is similar to the implementation of Interviews as described above.
In-depth Interviews	Phase 3. Monitoring
In this type of interview, questions are made to only one person with the objective of digging deeper into issues raised in questionnaires or interviews.	
Advantages	Allows the evaluator to compare different points of view about a particular event or issue, which is something particularly useful when dealing with delicate issues.
Keep in mind	Use individual interviews when evaluator wishes to keep an informant anonymous or simply to make interviewees feel free to express controversial views.
Implementation	Implementation is similar to the case of interviews as described above. Interviewer should pay attention to the direction the interviewee gives to the interview. For more information see: <a href="http://www.septem.es/files/libro%20LAZres.pdf">www.septem.es/files/libro%20LAZres.pdf</a>

Questionnaires		Phase 3. Monitoring
These are written questions that are used to get written answers, which, when analyzed, will enable indicators to be measured.		
Advantages	This tool can save much time if it is self-completing, allowing for a larger sample of interviewees. . When confidential and/or anonymous, it gives people enough confidence to say things that they would not say to an interviewer.	
Keep in mind	Questionnaires do not allow to further explore what people are responding. Questionnaires have also been over-used and people may be tired of completing them. They must be pre-tested to ensure that questions are well understood. If intended respondents cannot read or write, a third party may assist them in responding the questionnaire, which means no time is saved and the number of people that can be sampled remains limited.	
Implementation	They are similar to structured interviews; the difference is that in this case interviewees receive written questions. Questionnaires can be drafted into a form with the questions you want to make to the actors selected during monitoring and have them provide information about the progress or results of implemented actions. These questions will be based on indicators (and objectives) of policy influence determined in the initiative. For more information see: <a href="http://www.itescam.edu.mx/principal/sylabus/fpdb/recursos/r50880.pdf">www.itescam.edu.mx/principal/sylabus/fpdb/recursos/r50880.pdf</a>	
Focus groups		Phase 3. Monitoring
In a focus group, a skilled interviewer with a carefully structured interview schedule, interviews a group of people. Questions are usually focused around a certain subject or issue.		
Advantages	This is a useful way of getting opinions from a large sample of people. Interviewing in groups is recommended when confidentiality is not an issue, and the evaluator is interested in taking a large sample of opinions on a certain topic.	
Keep in mind	It is quite difficult to do random sampling for focus groups which means that findings may not be generalized. Sometimes people influence one another either to say something or to keep quiet about something.	
Implementation	This is a low cost evaluation technique in which a facilitator leads a discussion between a group of 7-10 people about their experience, feelings and opinions around a certain subject. The facilitator raises issues summoned in a discussion guide and uses surveying techniques to stimulate a debate and promote deep thinking among participants. Sessions usually take between 1-2 hours. To maximize the exchange among participants, they should share some common characteristics, i.e., gender, age, social precedence and the like. Many participants find this interaction stimulating and mention things they wouldn't have thought about on their own. When possible, interviews should be recorded and then transcribed. This requires special equipment and might be time-demanding. For more information see: <a href="http://www.gestionescolar.cl/UserFilesP0001%5CFile%5carticles-95981_recurso_1.pdf">www.gestionescolar.cl/UserFilesP0001%5CFile%5carticles-95981_recurso_1.pdf</a>	

Field worker Reports		Phase 3. Monitoring
These are structured report forms that ensure that indicator-related questions are asked and answers recorded, and that observations are recorded on every visit.		
<b>Advantages</b>	Flexible, an extension of normal work, cheap and not time-consuming.	
<b>Keep in mind</b>	Relies on field workers being disciplined and insightful.	
<b>Implementation</b>	Reports are structured according to the policy influence objectives established in the initiative. Field worker takes notes of both his/her personal opinion and community members' opinions.	
Participant observations		Phase 3. Monitoring
This involves direct observation of events, processes, relationships, and behaviors. "Participant" here implies that the observer gets involved in activities rather than maintaining a distance. Also, the observed community is aware of this participant observer's presence.		
<b>Advantages</b>	Participant gets a direct perception of the reality of the environment under study. Although observations can be subjective, they complement objective data collected through other tools.	
<b>Keep in mind</b>	It is difficult to observe and participate. The process is very time-consuming.	
<b>Implementation</b>	Once the event to be observed has been selected, participant must be informed about what is expected from it. That is to say, participant should know: type of actors usually involved, common practices, actors leading the event or moment, etc. In this way the participant will be able to become a part without interfering with the normal unfolding of events. For more information see: <a href="http://www.rrppnet.com.ar/tecnicasdeinvestigacion.htm">www.rrppnet.com.ar/tecnicasdeinvestigacion.htm</a>	
Impact Logs		Phase 3. Monitoring
This involves measuring impact by keeping a record of comments, anecdotes, and feedback, received from external actors and team members. These comments can be used to evaluate results.		
<b>Advantages</b>	Provides an informal and subjective vision of the results of implemented activities. Most are spontaneous and unsolicited (like a questionnaire). Once a significant number of comments, anecdotes and feedbacks have been gathered, they may be very useful to complement an evaluation, as they provide an informal point of view of the results of our actions.	
<b>Keep in mind</b>	Generally an informal type of feedback.	
<b>Implementation</b>	This type of comments can be kept in an email folder or in any shared folder where feedback and anecdotes about our lessons or experience can be stored. For example, if we send out a monthly virtual newsletter we may receive comments at any time. Those comments could be suggestions, acknowledgements, etc. If every time we receive this feedback we register them in an Excel file (including the sender's information and comments) we will have a record in file which we can later use as an input in the evaluation of the virtual newsletter.	

<b>Outcome mapping</b> (developed by IDRC in 2000)	<b>Phase 3. Monitoring</b>
	Here the evaluation is focused on changes in behaviors, perceptions and attitudes expected from a certain policy influence initiative. It was developed by IDRC (2001) and aims at identifying changes in the behavior of key actors related with the initiative and its environment.
<b>Advantages</b>	Outcome mapping enables the inclusion of an approach linked to the multi-causality of the change that policies seek to produce. It offers a qualitative look at the processes that the initiative triggers or is part of. Promotes organizational learning and thinking.
<b>Keep in mind</b>	Requires dedication to the evaluation stage of the initiative. Since this tool is not easy to use, we suggest reading the handbook on outcome mapping.
<b>Implementation</b>	<p>Outcome Mapping is done in three stages: intentional design, outcome and performance monitoring, and evaluation planning.</p> <p>The first stage, intentional design, helps to establish a consensus on the macro level changes and to plan the strategies to increase support. It answer four questions:</p> <ol style="list-style-type: none"> <li>1. Why? (Describes the vision);</li> <li>2. Who? (Identifies primary partners);</li> <li>3. What? (Determines the changes that are being sought and relevant progress indicators);</li> <li>4. How? (Articulates the mission and a strategy portfolio).</li> </ol> <p>The second stage, outcome and performance monitoring, provides a framework for the ongoing monitoring of actions and the primary partners' progress toward the achievement of outcomes. It uses progress indicators: a group of indicators of behavior change identified in the Intentional Design stage.</p> <p>The third stage, evaluation planning, helps to identify evaluation priorities and to develop an evaluation plan. While in the previous stage the monitoring framework collects a wide range of information, the evaluation planned in this stage involves an in-depth look at a strategy, issue or relation. Outcome mapping provides a method to frame, organize, and collect information, but does not offer processes of information analysis. In order to be useful, the information must be synthesized and interpreted. By sharing results and their interpretation with others, you can maximize and improve learning.</p> <p>For further information see: <a href="http://www.outcomemapping.ca">www.outcomemapping.ca</a>.</p>

Modular matrix		Phase 3. Monitoring
This tool focuses on exploring how the components of a project or program relate to one another (the internal linkages).		
Advantages	In the matrix you can plot outputs against impacts, or outputs against stakeholders. You can also use a Gantt Chart.	
Keep in mind	This is a self-assessment tool used under the framework of social network analysis. It is primarily descriptive and can be used in the monitoring stage for a mid-term review, and to then think about how to move forward.	
Implementation	Plot a double-entry table in which you will include the components of the project to be considered. Distribute crosses across each row to reflect how components relate to one another. When compared to the actual distribution, this will show what changes are needed in the policy influence strategy. See Annex 4 for examples. For further information see: <a href="http://www.mande.co.uk/docs/MMA.htm">http://www.mande.co.uk/docs/MMA.htm</a>	
Software		Phase 3. Monitoring
This involves application programs for computers, generally called “packaged software”, designed for a large audience of users and not custom-designed. The software listed below offer monitoring functionalities.		
Advantages	When used correctly, software helps save time in planning, monitoring, and evaluating activities. Several users can share the same file to reflect any progress made in the initiative.	
Keep in mind	Costs are usually high, with the exception of Windows Office. May require prior training.	
Implementation	For further information about Customer Relationship Management software see: <a href="http://crm.dynamics.com/">http://crm.dynamics.com/</a> For further information about Microsoft Project see: <a href="http://www.youtube.com/watch?v=Or38bUSS8xQ">http://www.youtube.com/watch?v=Or38bUSS8xQ</a> For further information about Management Project see: <a href="http://www.youtube.com/watch?v=8x7msPfjASo">http://www.youtube.com/watch?v=8x7msPfjASo</a> You can also use Microsoft Office Excel and/or Access.	

The fourth phase of the M&E process is the evaluation and closure of the monitoring phase. It involves the production of a final report on the evaluation of the influence in public policies. One of the most

important objectives is developing the organization’s internal capacity to detect or recognize the lessons learned during the implementation of the project/program/organization’s process.

• Table 10. – Phase 4. Evaluation

Innovation stories (developed by CIAT)	Phase 4. Evaluation
An innovation story is simply a history of a given innovation in public policy told in the order in which the events occurred.	
Advantages	Innovation stories can be a useful tool for evaluating change. This tool allows the people involved to reflect not only on their personal experience but on that of other actors involved as well. This improves the quality and depth of conclusions.
Keep in mind	These stories can be used to learn lessons for future initiatives.
Implementation	<p>The first step consists of the development of a time line of the innovation by the participants of the “story” based on the data collection and the available documents. To achieve this it is necessary to identify the focus of the innovation or change. The preparation process of the story stimulates the discussion, reflection and learning from other actors related to the story. The second step consists of developing two or more matrices for some points of the time line to capture the change dynamic in the story’s actor relationship. It could also draw relationship networks maps (see social network analysis tool in <b>chapter 6</b>).</p> <p>In the third step, the author of the story identifies the most relevant events of the accomplished innovation. This decision will in turn determine which actors must be interviewed.</p> <p>The forth step links the framework used for analyzing the story and the facts collected. The story will include: introduction, methodology used, case studies, discussions or conclusions and a summary.</p> <p>The last step is to write summarized communication pieces that could be published in professional newsletters or short documents.</p> <p>For further information see: <a href="http://ageconsearch.umn.edu/bitstream/52515/2/ILAC_Brief05_Histories.pdf">ageconsearch.umn.edu/bitstream/52515/2/ILAC_Brief05_Histories.pdf</a></p>
Episode studies	Phase 4. Evaluation
Episode studies focus on a certain policy change and look into the past to find the impact that research had on such change.	
Advantages	They offer a realistic vision of the wide range of factors that may have influenced policy change.
Keep in mind	It is a technique that contributes to evaluation and to monitoring. It contributes to evaluation as it provides information about impact and results that could be used in evaluating the performance of the program.

Episode studies	Phase 4. Evaluation
<b>Implementation</b>	<p>The first step is to identify a policy change and to draft research questions about it. In an episode study you should develop a narrative explaining how the policy change occurred. This involves creating a historical timeline of key policy decisions and comparing and complementing it with documents and/or important events produced by the organization. You also need to identify key stakeholders who have been involved in the process. The next step is to explore how and why those policy changes took place and to assess the role of research in that process. This can be done through interviews with key actors, reviewing the literature, capturing the researcher's experience, or by organizing debates in workshops with stakeholders who were involved in the process.</p> <p>For further information see: <a href="http://www.mande.co.uk/docs/MSCGuide.pdf">www.mande.co.uk/docs/MSCGuide.pdf</a></p>
Most significant change	Phase 4. Evaluation
<p>The most significant change (MSC) technique is a form of participatory monitoring and evaluation. It is participatory because many project stakeholders are involved both in deciding the sorts of change to be recorded and in analyzing the data.</p>	
<b>Advantages</b>	<p>It is a form of monitoring that requires no special professional skills Compared to other monitoring approaches, it is easy to communicate across cultures. It is a good means of identifying unexpected changes.</p>
<b>Keep in mind</b>	<p>It is a form of monitoring because it occurs throughout the program cycle and provides information to help people manage the program. It contributes to evaluation because it provides data on impact and outcomes that can be used to help assess the performance of the program as a whole.</p>
<b>Implementation</b>	<p>Essentially, the process involves the collection of significant change stories emanating from the field level, and the systematic selection of the most significant of these stories by organization members or by designated stakeholders. The stories are then analyzed and filtered up through the levels of authority typically found within an organization or program.</p> <p>For further information see: <a href="http://www.mande.co.uk/docs/MSCGuide.pdf">http://www.mande.co.uk/docs/MSCGuide.pdf</a></p>
After Action Reviews	Phase 4. Evaluation
<p>An after action review (AAR) is a discussion of a project or an activity that enables participants to learn for themselves what happened, why did it happen, what went well, what needs improvement and what lessons can be learned. The spirit is one of openness and learning. Lessons learned are not only tacitly shared on the spot by the individuals involved, but can be explicitly documented and shared with a wider audience.</p>	

After Action Reviews	Phase 4. Evaluation
<b>Advantages</b>	<p>After action reviews can be applied across a wide spectrum of activities, from two individuals conducting a five minute AAR at the end of a short meeting to a day-long AAR held by a project team at the end of a large project.</p> <p>Ideal tool for making tacit knowledge explicit during the life of a project or activity and thus allowing you to capture it before a team disbands, or before people forget what happened and move on to something else.</p> <p>They provide insights into exactly what contributes to the strengths and weaknesses of a project or activity, including the performance of each individual involved, of the project leader, and the team as a whole.</p> <p>After action reviews are also a useful tool for developing your employees in a non-threatening way. People can share their views and ideas and be heard.</p> <p>Good tool to include in accountability reports for funders.</p>
<b>Keep in mind</b>	<p>After action reviews might be treated as performance evaluations. Keep in mind that they are learning events, not critique.</p> <p>The less time that elapses between discussing a lesson and applying it at work, the more effective the application.</p>
<b>Implementation</b>	<p>This is about learning after doing. After action reviews require some preparation and planning, but are not difficult as they take the form of a simple meeting.</p> <ol style="list-style-type: none"> <li>1. Call the meeting as soon as possible and invite the right people. Why? The reasons are simple: memories are fresh and participants are available. It may be useful to invite the project client or sponsor and also members of any project teams who are about to embark on similar policy influence projects.</li> <li>2. Create the right climate: the ideal climate is one of trust, openness and commitment to learning. There are no hierarchies in AARs and they should never be treated as performance evaluations.</li> <li>3. Appoint a facilitator for formal AARs (not necessary for informal ones). The main purposes of the facilitator are to help the team to learn by drawing out answers; to ensure that everyone has an opportunity to contribute; and to help create the right climate and ensure that blame is not brought in. The facilitator should be someone who was not closely involved in the project, so that s/he can remain objective.</li> <li>4. Revisit the objectives and deliverables of the policy influence project. Ask ‘what did we set out to do?’ and ‘what did we actually achieve?’ You might like to revisit the original policy influence project plan at this stage. You might also decide to construct a flow chart of what happened, identifying tasks, deliverables, and decision points. This can help you to see which parts of the project were particularly effective or ineffective.</li> </ol>



After Action Reviews	Phase 4. Evaluation
Implementation	<p>5. Ask ‘what went well?’ Find out why, and share learning advice for the future. It is always a good idea to start with the positive points. Here you are looking to build on best practice as well as learning from mistakes. For each point that is made about what went well, keep asking a ‘why?’ question. This will allow you to get to the root of the reason. Then press participants for specific, repeatable advice that others could apply in similar situations. Also ask ‘what could have gone better?’ The focus is not on failure, but on improvement.</p> <p>6. Ensure that everyone feels fully heard before leaving the meeting. A useful technique here is to ask them for a numerical rating of the project. People who have said the project was positive will often still score it an eight, which enables you to then ask ‘what would have made it a ten for you?’</p> <p>7. Record the AAR for future reference. Remember to include the names of the people involved. You may save it in some kind of knowledge database or on an intranet. A template as example is included in <b>Annex 5</b>. For further information see: <a href="http://www.odi.org.uk/RAPIDTools/Toolkits/KM/AAR.html">www.odi.org.uk/RAPIDTools/Toolkits/KM/AAR.html</a></p>
Rapid Outcome Assessment (ROA)	Phase 4. Evaluation
The RAPID Outcome Assessment (ROA) is a learning methodology to assess and map the contribution of a project’s actions on a particular change in policy or the policy environment. It is a flexible and visual tool that can be used in conjunction with other evaluation tools and methods.	
Advantages	ROA draws significantly from Outcome Mapping as it focuses on key actors that the project is directly influencing and the progressive changes in those actors. It also draws from other methodologies such as Episode Studies, which focuses on working backwards from a policy change to determine the factors that contributed to it; and Most Significant Change, which helps to identify and prioritize the key changes.
Keep in mind	<p>It is important to know in advance who will be participating in the workshop</p> <p>Participants should remain the same throughout the workshop</p> <p>Participants should understand the concepts of policy, behavior and attitude, in order to be able to accurately identify changes in policies</p>
Implementation	<p>The ROA methodology has three main stages. The first stage is a <b>preparation stage</b>, during which a document review and a series of informal conversations are carried out to develop a draft picture of the project’s history and the intended changes. The second stage is the <b>workshop</b> during which the stakeholders identify key policy change processes. The third stage involves a <b>follow up process</b> that allows the researchers to refine the stories of change, identifying key policy actors, events and their contribution to change.</p> <p>For learning more about this tool see Hovland (2007). For further information see: <a href="http://www.outcomemapping.ca/download.php?file=/resource/files/simonhearn_en_RAPID%20Outcome%20Assessment.pdf">http://www.outcomemapping.ca/download.php?file=/resource/files/simonhearn_en_RAPID%20Outcome%20Assessment.pdf</a></p>

Media monitoring	Phase 4. Evaluation
	Involves monitoring the appearances of the organization and/or its members in the media. It is convenient to combine qualitative and quantitative techniques to obtain an elaborated analysis of the coverage.
Advantages	Press appearances contribute to form our public image against the different players with whom we interact.
Keep in mind	<p>Media monitoring may be conducted by team members of the initiative or by the communication department of the organization, if any.</p> <p>Media appearances can be positive or negative, which draws the type of impact that it will have on building credibility. Thus, the way in which we later use this information is a key factor.</p>
Implementation	<p>If we want to implement a quantitative technique, we can make a simple record listing all the appearances on TV, radio, internet or newspapers. It is important to record the number of appearances, the articles or opinion columns published, etc., daily or at least once a week. It is important to update this record when new appearances take place since at that moment the information will be “fresh” and any missing data is easier to obtain. This task can be performed internally by organization members or an external clipping service can be hired. A more extensive way to conduct media monitoring is by focusing on the coverage of a campaign or specific subject. For example, considering the space dedicated to a certain issue during a week, the minutes on TV or radio, the numbers of visits to a website, etc.</p> <p>If we also want to make a qualitative analysis of the press appearances, it is necessary to define a descriptive criteria which will allow us to classify each of the appearances that we have had (for example: if the publication is about articles where the organization is mentioned or opinion columns written by its members; or if the initiatives published in the cover of newspapers were positive, regular or negative in accordance with the impact they had in the media agenda and the public debate). The diversification of the media in which the initiatives and the organization appear is a component to be considered if we want to widen the ideological range with which we can associate it. The degree of participation by the organization in the current political debate is another indicator of the effect that can be achieved as a key player in the generation process of public policies.</p> <p>Quantitative and qualitative analysis can be combined in an annual report which informs about the exposure in the media that the members and initiatives of the organization have had during such period. As an example in <b>Annex 6</b> we include information about the annual media report prepared by CIPPEC.</p>

To conclude, it is important to mention that the tools included in this handbook do not represent the universe of diagnosis, monitoring and evaluation techniques available. They are only a synthesis of the most appropriate methods for applying M&E of the public policy influence. For learning about existing tools not included in this handbook please refer to the Handbook of Data Collection Tools written by Organizational Research Services and available at: [www.organizationalresearch.com/publications/a\\_handbook\\_of\\_data\\_collection\\_tools.pdf](http://www.organizationalresearch.com/publications/a_handbook_of_data_collection_tools.pdf)

We suggest keeping in mind the PRIs capabilities on M&E, available resources and goals of the project/program/institution while selecting the tools to be used in this process. Different tools may be useful or possible to implement according to the organization's practices and characteristics. Therefore, it is reasonable to change tools over time.

# Chapter 4. How is knowledge of public policy influence managed in Latin America?

A good understanding of the point of departure is fundamental to adequately initiate or improve KM about policy impact within an organization. A general overview of the state of KM in these types of institutions will allow us to identify the challenges and opportunities in the Region that may be addressed or seized in different ways.

It should be noted that “PRIs in Latin America are widely heterogeneous both in their institutional activities as in their age, size and number of team members closely related to research. Furthermore, their publications and events are varied both in their format and quantity” (Weyrauch, et. al. 2010). It would therefore be rather unreasonable to draw a single development strategy for their KM capabilities since each organization may require a different approach based, not only on the available resources, but also on the institution’s priorities and interests regarding knowledge generation and socialization.

Several common elements can be found despite their heterogeneity. A large number of PRIs in the Region have recognized expertise in bringing information closer to decision makers with the aim of influencing public policies. This should be increasingly exploited by each institution and pair organizations as well.

However, systematization of these experiences is still incipient, scarce and limited to certain isolated or occasional publications. It mostly remains tacit or it is poorly coded. Currently, knowledge socialization largely depends on informal meetings or contacts between those who possess it, either members of the same or from different institutions.

While the study “Fertile Land. Knowledge Management of Public Policy Impact emerges in Latin America” states that research in the Region is growing both in frequency and importance, “systematization of these experiences is not a common practice among local PRIs and varies from one institution to another, depending on whether they consider it or not a strategy for institutional diffusion. Moreover, systematization also depends on the type, goal and –to a large extent– the available resources for each research project. We could therefore say that limited systematization of research experiences is partly due to the fact that sharing such knowledge –either internally with other members or externally with pair institutions– is not included among their institutional goals.”

The lack of resources (whether financial or HR), the limited knowledge of methodologies for their appropriate administration, and the fact that their development is not identified as a priority within organizations, stand as the main obstacles in the way to KM development.

Such poor knowledge generation and socialization negatively affects PRI’s capacity to effectively contribute their research to public policies decision-making processes.

It is against this background that we have identified a series of opportunities and challenges that PRIs should consider when deciding how to initiate a KM improvement process. They are presented in the following table and explained in further detail below.

• Table 11. PRI's internal and external opportunities and challenges to their knowledge management

	Opportunities	Challenges
Internal	Growing importance of the impact that research could and should have on public policies	Generate the necessary conditions to create, share and use knowledge.
	Interest of PRIs members in developing and sharing knowledge	Introduce KM methodology
		Maximize resources allocated to KM for their efficient use
		Motivate members to cooperate with KM
		Adapt recommendations from the Northern Hemisphere (funders) to actual needs in the Southern Hemisphere
External	Donors' knowledge about experiences of policy impact through research	Achieve more extensive systematization and articulation among regional PRIs
	Internet and TICS growth as tools to share knowledge in an easier and permanent manner	Greater commitment with collective public goods
	Development of subject-based networks and communities	Competition among organizations for funds and reputation in the eyes of donors (knowledge is power)

Source: Own elaboration.

Opportunities

The opportunities identified for KM development are applicable to KM within PRIs as well as to knowledge socialization among them.

Internal

*The impact that research could and should have on public policies is increasingly important (and the number of cases is growing)*

PRIs are increasingly concerned about having an impact on public policies and preventing their research from being shelved. The detected incidence of PRIs in Latin America is taking shape and the record of their experiences in the Region is slowly

growing (see Bringing Research and Public Policies Together in Latin America).<sup>2</sup>

There are still several issues that significantly affect the link between those who generate research and those who use it. Identifying such issues is key to those interested in strengthening the use of evidence in public decision-making.

*Interest of PRI members in developing and sharing knowledge internally and among partner organizations.*

According to the above-mentioned study on the incorporation of experiences and knowledge

2 Four success cases of public policy impact in Uruguay, Mexico, Bolivia, and Brazil.

about the impact of research in public policies in Latin America, PRIs attach great importance to an efficient management of knowledge internally and among partner organizations as well. However, even though PRIs recognize the importance of KM and are willing to move in that direction, they do not consider it among their institutional priorities.

Interest in learning and the growing awareness about the need for generating and sharing such knowledge are frequently a result of the diverse contextual and institutional crises that PRIs go through. Unfinished projects, impact-less communication initiatives, failed agreements with politicians, etc. generally cause frustration within the organization. It is often under these circumstances that organizations revise their strategies and consider drafting new initiatives.

This is partly because – especially in developing countries – the work done by PRIs takes place in a context of constant change. Therefore, the organizational learning model is always evolving. Lots of mistakes usually take place in the process and it is their reactions to such events what shapes their organizational character. In times of institutional crisis, for instance, organizations that know how to see errors as a source of learning, will discuss them, and take corrective actions. A learning attitude comes more naturally in the face of errors. Sharing knowledge and learning from similar past experiences, both within and among partner organizations, creates an atmosphere that is conducive to knowledge socialization (Korten, 1984).

## External

### *Underlying knowledge of donors that have funded hundreds of experiences to impact public policy through research*

Much of the work done in KM and learning has been carried out by international or Northern

Hemisphere organizations. It is these organizations that mostly fund projects to influence public policy through research. Their years of experience are a source of knowledge that could nurture organizations in the Southern Hemisphere.

While it is important to adequately adapt this knowledge to particular contexts, learning and getting the most out of funders' experience is most important. Moreover, the role of these organizations is increasingly to transfer knowledge and to train civil society organizations from developing countries on how to process their information (Ramalingan, 2006).

### *Internet growth and the development of TICs in the Region allow for better communication to share experiences*

The development of the Internet has made communications easier globally. Access to the Internet and technology by PRIs in the Region is extending. TICs are extremely useful tools to connect organizations in the region and learn from the experience of partner organizations without the need to travel. They also allow for the creation of more user-friendly applications and stimulate the exchange of knowledge.

According to a study on the use of experience on the impact of research on public policies, "PRIs (...) are not facing infrastructure or technical equipment problems; in fact, all participating institutions have individual PCs, Internet, access to databases, etc." (Browne et al, 2010). Technology seems ready for a step towards better KM.

### *Development of subject-based networks and communities*

As a result of the development of TICs, there has been an evolution of social networks as a means to organize efforts and achieve social change. The field of corporate communications often notes the

importance of working through networks in order to achieve better results based on synergy and co-operation: “The importance of networks comprises development as well: they organize civil society to implement change, they connect local with global, private with public and provide a space to create, exchange and diffuse knowledge” (Mendizabal, 2007).

In sum, subject-based networks are a suitable space for the exchange of experiences; PRIs working on similar issues will find relevant and useful lessons to learn from partner organizations.

## Challenges

Despite a generally positive outlook for the development of KM related to policy impact by PRIs in the Region, there are challenges ahead when moving toward that goal.

### Internal

*Members should have a suitable environment to create, share and use knowledge for the benefit of the organization*

Most members in PRIs manage knowledge without being aware of doing so. Each one stands as a source of training and experiences, and counts on a network of experts and colleagues to reach in order to solve a problem or look for an opportunity. We are generally successful in doing this when in need of an answer or somebody who may have one.

KM consists fundamentally of applying the general knowledge of the workforce to a certain goal (in this case goals related to public impact). We do not mean to say any general knowledge –we mean the specific knowledge that is required and consists of ensuring that organization members have access

### E-socialization

As shown by the following data, the Internet is emerging as a powerful tool for sharing knowledge on policy impact:

- Brazil has the largest Internet population in the Region with over 31 million home users and 70 million total users.
- Argentina stands in third place after Brazil and Mexico with almost 11 million users and in second place of hours spent online (the world average being 22.3)
- Social networks reach 82% of Internet users in Latin America and the number of single users has grown 22% (even higher than in the U.S.)
- Growth of Facebook has been spectacular: over 33 million users as of July 2009 with an audience reach of 38% (Venezuela, Chile and Colombia have the highest reach: 80%, 79% and 76% respectively).

Source: ComScore, October 2009

to the knowledge they need, at the right moment and place. To achieve this, the creation of a suitable environment where individuals are motivated to produce, share and use knowledge together for the benefit of the organization is fundamental. It is crucial that KM be a natural result of the operating mode and frequent habits within the organizational culture. Existing tools and incentives to stimulate this are analyzed below.

### *Learn and incorporate methodology to manage knowledge*

The study about KM in Latin America (Browne et al. 2010) notes that an obstacle for the development of KM in organizations lies in the fact that they either lack or ignore methodologies to share experiences in a systematic way.

**Coaching:** aims at developing people's skills to help them reach both their personal and professional goals. Coaching is focused on providing employees with what they need for their development. It does not necessarily imply the employee reporting to the coach but that the latter tries to improve the employee's skills.

Benefits:

- Employee builds self-confidence
- Provides support and follow-up to employee
- Learn from coach
- Increases chances of success

Further information: Goldsmith 2000; Human Resources Development Canada 2001; Hunt 2002; National Managers' Community Treasury Board of Canada Secretariat.

**Mentoring:** it is a learning relationship between two employees. Mentors are those who have more expertise and possess more knowledge and ideas that they share with those who have less expertise. It is not necessarily a superior-subordinate relationship. Mentoring looks to the future, to the employee's professional development; it aims at teaching leadership skills and is based on mutual commitment, respect and trust.

Benefits:

- Employee develops leadership skills to face future challenges
- Builds a motivating relationship between mentor and mentee
- Improves internal communication

Further information: CIDA 2003; Casavant 2002; Human Resources Development Canada 2001; Hunt 2002; New York State 2002; Treasury Board of Canada Secretariat.

The recognized complexity of public policy impact leads to more spontaneous and informal exchanges between organizations facing similar obstacles. However, based on the diversity of work environments, organizations frequently do not consider feasible the development of methodologies and formulas that could be transferable to the community of PRIs. Promoting the use of certain shared methodologies can help to strengthen and improve public policy impact on a regional level.

### *Maximize resources allocated to KM for their efficient use*

Interviewed organizations frequently mention the lack of resources as an obstacle in the development of a KM strategy. Thus the challenge lies on maximizing existing resources. Even though funders are increasingly aware of the importance of investing in KM and sharing experience multilaterally, existing resources should be used more efficiently. KM is not only about adding a new instance in the development of public policy impact projects by introducing a specific phase to systematize experience. The challenge lies in turning KM into a daily practice of



project development, changing the way members interact within an organization and how past experiences are used.

*Motivate members to collaborate with KM through specific incentives that minimize potential internal competition*

“Being the centerpiece of KM, members should be able to express, learn and exchange experiences within their organizations. One should take into account, on one side, which members are best suited both for training others in this subject and for initiating or improving the organization’s internal processes. On the other side, it is also important to develop and implement internal incentives for the generation of knowledge” (Weyrauch et. al. 2010).

The challenge consists of making people invest their time on sharing their knowledge and making them understand that such practice is to the benefit of everyone. Monetary incentives, which are hard to come by and manage within organizations, are not the only way to motivate members. Since reputation is an important value to PRIs, internal recognition of those who produce and share knowledge about public policy impact is another way of stimulating this practice in the organization. Paid courses, seminars and workshops may also be used to reward such members and are at the same time beneficial to the organization as a whole.

Coaching and mentoring are yet other ways of stimulating this type of behavior: the time and attention that senior staff and experts may give for the career development of other members is highly valued by organizations.

Finally, the promotion of horizontal relations for a greater exchange of knowledge through periodical meetings between senior management and staff members not only bring them closer but also

generate trust and create a friendlier environment for such practices.

*Adapt recommendations from the Northern Hemisphere (funders) to current needs in the Southern Hemisphere*

Since it is the Northern-Hemisphere organizations that possess the most advanced know-how in KM, the ability to reinterpret their recommendations and adapt them to Southern Hemisphere contexts becomes fundamental. Organizations work in different cultural, political and economic contexts and this has its obvious consequences. KM practices that are effective in the North may not necessarily be effective in the South. These differences are often found in the way concepts are understood or associated with each other.

This is a challenge not only for Southern Hemisphere organizations in regards to their capacity to adapt what they learn but for Northern Hemisphere ones as well, in terms of being able to focus their actual goals and to build capabilities based on a local understanding (Stiglitz, 1999). There is a change of focus from simply transferring technical capabilities to strengthening Southern organizations as a whole, which includes staff capabilities, organizational culture, strategy and planning processes, and the ability to understand and react in the face of changing contexts.

## External

*Achieve larger systematization and articulation among regional PRIs*

“The fact that the administration of experiences in public policy influence is done in a non-systematical manner reveals the existing fragmentation of KM in the region, which is common in the initial stages of any process. The exchange of knowledge is more

random between organizations than within them. We could say that the reason for this is that systematization is easier when done towards the inside (through the creation of routines, policies, functions and/or positions related to KM) than towards the outside (with the exception of advanced networks, the institutionalization of rules, procedures, routines, etc. between different organizations is infrequent).” (Weyrauch et. al. 2010)

Any significant development of KM in the Region would require further and better systematization of each organization’s knowledge and a space for articulation between PRIs fostering the socialization of knowledge.

According to a study on this subject, “the Region exhibits differentiated capacities to manage the knowledge produced by PRIs. Thus, a greater articulation that takes into account the heterogeneity of these organizations in their size, volume of research, types of influence, etc., is required. Socialization of knowledge is still nascent: only one case of successful exchange of knowledge and incorporation of the impact of research on public policy was found in the interviews.” (Weyrauch et. al. 2010).

The use of existing means to socialize experiences (communities of practice, forums, subject-based networks, etc.) appears to be the natural road to contribute to KM in the Region.

There are several tasks that could be undertaken in order to build and share knowledge on policy influence: mapping actors involved in research and policy influence in the region, identifying the subjects they work on, and sharing calendars of events, seminars, important meetings, etc. All these tasks would allow for a better articulation and systematization of the existing knowledge on policy influence.

### *Achieve cultural change that generates a greater commitment with collective public goods*

“Organizational culture is not only about introducing incentives to promote KM among members, but about the organizational willingness to articulate efforts and collaborate with peer organizations in the pursuit of its goals.” (Browne et. al. 2010)

In general, when it comes to improving KM, the importance of the contributions that result from interacting with external actors is minimized. The knowledge that results from sharing and the consequent development of learning capabilities is the most important aspect to be considered, rather than the shared knowledge itself. (Madon, 2002).

Historically, however, there has been a culture of closely relating knowledge with power. One can assume that certain actors are not prepared to give away the knowledge on which their power is based. However, despite the expansion of the idea that sharing knowledge is key to the success of development projects, literature on the subject suggests that this trend will continue to grow (Baumann, 1999). Other authors, such as Edwards (1994), believe that organizations present some factors that may allow them to overcome this barrier. There is a democratic vision of communication to be found in the basis of an organization’s values that emphasizes openness, sharing information and non-hierarchical communication channels. Furthermore, organizations study and work on public issues that have both a direct impact on society and a collective benefit. Achieving a greater commitment for its improvement implies exchanging experiences in order to maximize results.

The challenge for organizations lies in understanding that the chances of influencing public policy are greater when they are able to make a systematical use of their knowledge about public policy impact. It is also a challenge to achieve cultural change where

commitment to cooperation will lead to a more efficient use of knowledge.

*Competition among organizations for funds and reputation in the eyes of donors (knowledge is power)*

A fact that must be recognized so as to accomplish a change in KM is that PRIs compete among themselves for funds. “This competition is frequently detrimental to sharing knowledge since better-positioned organizations will probably tend to keep their competitive advantage and attract greater financial support. This will be the case especially for organizations that work on similar issues (...)

Overcoming this barrier also depends on the willingness of organizations to cooperate and jointly seek funds in order to create actual spaces to socialize knowledge. Joining forces may lead to complementing each organization’s shortcomings and creating positive synergies in proposals.” (Weyrauch et. al. 2010).

Knowledge management “is essentially about facilitating the processes by which knowledge is created, shared and used in organizations. It is about making small changes to the way everyone in the organization works. There are many ways of looking at knowledge management and different organizations will take different approaches. Generally speaking, creating a knowledge environment usually requires changing organizational values and culture, changing people’s behaviors and work patterns, and providing people with easy access to each other and to relevant information resources. As KM is a relatively new concept, organizations are still finding their way and there is no single agreed best practice. Knowledge management is essentially about people.”

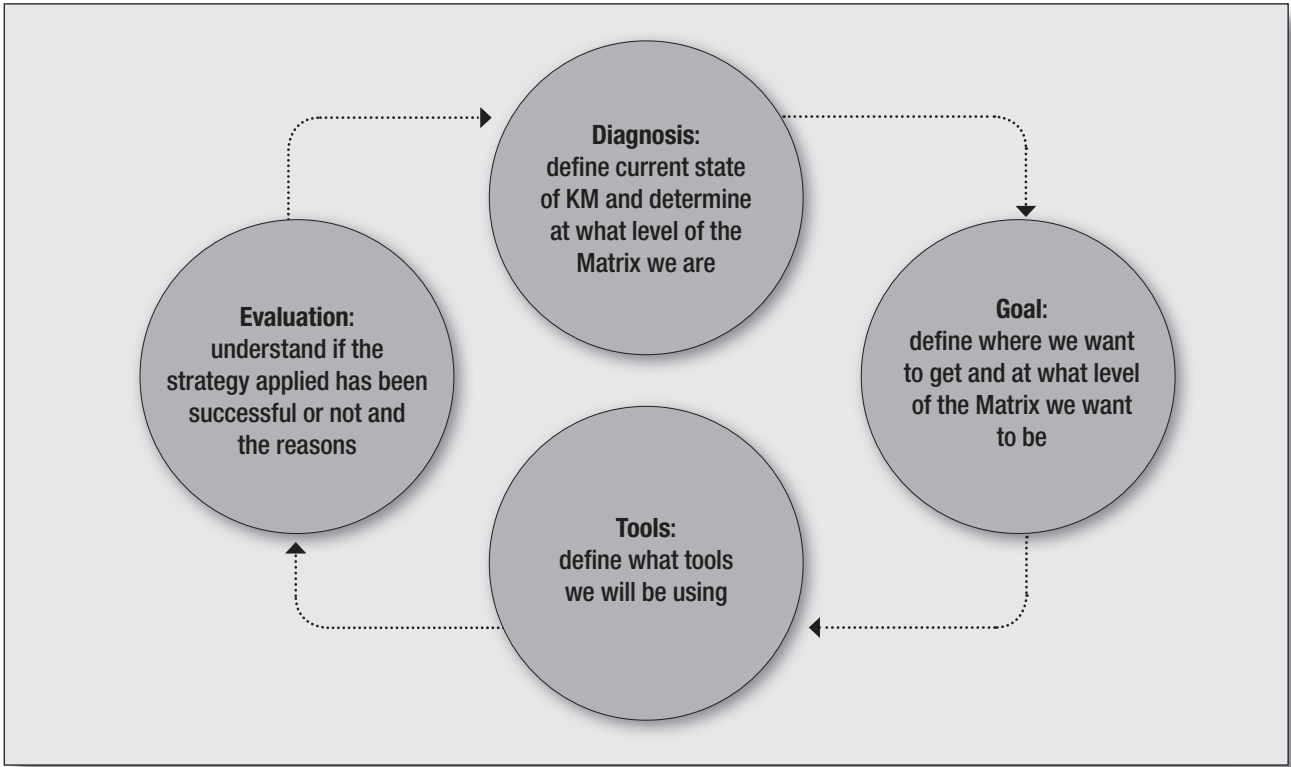
Source: Géraud (2005)

# Chapter 5. Strategy to implement a Knowledge Management Plan

The goal of this handbook is to help organizations systematize and take full advantage of the knowledge created as a result of their experiences in policy influence, and to help them learn from both successful and unsuccessful cases. There is a wide range of tools available to accomplish this. Before pointing

out their advantages and means of implementation, we first need to understand where we stand and where we want to go. To this end, in following, we discuss its stages: **1. Diagnosis, 2. Defining objectives, 3. Selection tools, 4. Evaluation.**

• Image 2. Steps to build a knowledge management plan



Source: Own elaboration.

## Getting started. Diagnosis

There is a wide range of tools for organizations to systematize the knowledge they produce when trying to influence public policy. Before choosing among them, each organization must identify where it stands depending on knowledge management (**diagnosis**) and where it would like to be standing while systematizing knowledge (**defining objectives**).

To begin with, in order to come up with a diagnosis, we suggest using two complementary approaches. One, implementing a question and answer exercise from the **Table of Opportunities and Challenges**. This tool allows us to understand the situation our organization faces Vis a Vis the opportunities and challenges most recurrent in this field in the Region. The other is the use of an approach developed by Chriss Collison and Geoff Parcell in their study *Learning to fly* (2001), **The Five Competencies Framework**. This tool is widely promoted and is currently used by many teams for organizing and applying KM initiatives.

In order for the exercise to be fruitful, the working team should be made up by individuals who make organizational decisions (executive director and/or directors); some members of the organization who have extensive and distinguished field work in institutional matters (e.g. coordinators); and those who are going to formulate the new KM system. Moreover, it is important that each question is answered with absolute sincerity and without prejudice or biased opinions. Done this way, we will get a picture of how our organization addresses this topic and understand what main challenges and opportunities we have to consider when thinking of a KM plan (and when choosing the appropriate tools). Based on the results of this analysis, and on the implementation of The Five Competencies Framework, we may decide on the best actions to be undertaken to improve our impact.

### Opportunities and Challenges Table

Opportunities and challenges for the development of knowledge management within and between PRIs appear in a different degree of intensity.

This is why the following exercise aims at helping members of organizations make a first approach to the current and potential situation of knowledge management of impact in public policies. For this purpose guiding questions are included. They help to collectively think about the place given to knowledge management influence in the organization itself.

• Table 12. Opportunities and challenges table

	Opportunities	Challenges
Internal	<p><b>Growing importance of the impact that research could and should have on public policies</b></p> <p>Do we have any actual experience in influencing public policy (whether successful or not) in our organization?</p> <p>Are researchers interested in the implementation of their work? Is there a senior management role that prioritizes policy impact based on evidence?</p>	<p><b>Generate the necessary conditions to create, share and use knowledge for the benefit of the organization</b></p> <p>Does our organization spend time to create, learn and share knowledge?</p> <p>Is there any time (either during or after projects are completed) to consider the impact of research on public policies?</p> <p>Does staff feel they have no available time to learn from others?</p> <p>Do authorities take time to share and learn or do we work against the clock?</p> <p>Is there a culture of openness, mutual respect and support? Or is it a highly hierarchical organization where “knowledge is power”?</p>
	<p><b>Interest of PRI members in developing and sharing knowledge internally and among peers</b></p> <p>Do we communicate the results of our work? How?</p> <p>Do we try to develop capabilities in public policy influence?</p> <p>Do we try to develop links with other organizations to learn from their successful and unsuccessful cases?</p> <p>Do we have any internal instance to share the lessons learned from successful and unsuccessful cases?</p>	<p><b>Learn and incorporate KM methodology</b></p> <p>Do members of our organization know KM methodology? Do they apply it?</p> <p>Does our organization have any processes or policies that require sharing knowledge on public policy influence?</p> <p>Are there any other processes that stand as obstacles for people to share their knowledge?</p> <p>Do we have any people or team in our organization that understands or is willing to learn and promote KM methodology?</p>
	<p><b>Underlying knowledge of donors who have funded previous experiences on influencing public policy through research</b></p> <p>Do our donors have any expertise in public policy influence and KM?</p> <p>Have we received any funding to influence public policy through research? And to share and systematize the results?</p> <p>Have we participated in any meetings, courses, seminars, workshops offered by funders (or Northern Hemisphere organizations)?</p> <p>Are we up to date with the methodology developed by those who have already walked this path?</p>	<p><b>Maximize resources allocated to KM for their efficient use</b></p> <p>How do we distribute our budget when it comes to developing a project?</p> <p>Is there any stage dedicated to KM?</p> <p>Is there anyone whose responsibilities includes or could eventually include KM?</p>

	Opportunities	Challenges
Internal		<p><b>Invest in the development of KM capabilities for certain position profiles. Motivate members to collaborate with KM.</b></p> <p>Are there any opportunities for the staff to participate in external seminars on the subject?</p> <p>Are people motivated and are there any incentives to create, share and use knowledge?</p> <p>Is there a culture in which people feel that they can learn from mistakes? Or is the dominant culture one of monitoring and control?</p>
		<p><b>Adapt recommendations from the Northern Hemisphere (funders) to current needs in the Southern Hemisphere</b></p> <p>Generally speaking, have the recommendations from the Northern Hemisphere been effectively applied?</p> <p>How is the relationship with our donors? Are there any opportunities to exchange ideas in order to develop future KM projects? Do they take our recommendations into account?</p>
External	<p><b>Growth of Internet and TICs in the Region allows for greater and better communication to exchange experiences</b></p> <p>Do all members in the organization have PC and Internet access?</p> <p>Do we have an Intranet where knowledge related to policy influence can be easily found?</p> <p>Do we use virtual means of communication (e.g. newsletters) to share information with other PRIs?</p> <p>Do we receive bulletins and news from other organizations through the Internet?</p> <p>Is our technology useful? Does it facilitate the process of sharing knowledge?</p>	<p><b>Achieve larger systematization and articulation among regional PRIs</b></p> <p>Do we try to coordinate responsibilities among PRIs to maximize cooperation?</p> <p>Do we share resources such as calendars of events, mapping of key actors, etc?</p>
	<p><b>Emerging development of subject-based networks and communities</b></p> <p>Do we know any networks dedicated to the issues we work on?</p> <p>Are we part of any network or community of practice?</p> <p>Do staff members participate in these networks based on their expertise?</p>	<p><b>Competition among organizations for funds and reputation in the eyes of donors (knowledge is power)</b></p> <p>Do we see other organizations as peers and seek their cooperation? Or do we see them as our competition?</p> <p>Are we willing to share lessons-learned with peer organizations?</p>

Source: Own elaboration.

Having answered these questions we are ready to apply The Five Competencies Framework, which is at the core of this first stage of diagnosis.

## The Five Competencies Framework

The Five Competencies Framework developed by Collison and Parcell provides with a better understanding and communication of the different aspects of KM on an organizational level, and works on the principle that effective knowledge is based on five areas of competency: **Strategic Development, Management Techniques, Collaboration Mechanisms, Knowledge sharing and learning processes** and **Knowledge capture and storage**. These areas are defined below. Also included are the tools most appropriate for each area. The latter are also taken up in Chapter 6 (where their advantages, implementation mechanisms, and appropriateness for normal use, along with templates, are discussed).

### *Strategic Development*

This competency deals with the ability of an organization to regard knowledge about policy influence in a strategic manner, that is to say, focusing on the ultimate goals of knowledge management. The tools presented to strengthen this competency offer different frameworks that can be used to develop monitor and assess KM initiatives. Most of these tools were explained in the first part of this handbook and can be used to determine our level (from 1 to 5) in the Five Competencies Framework.

### *Management Techniques*

While leadership entails understanding what should be done, management means doing it correctly. This competency presents a wide array of simple approaches such as assessing management

and error measures, forces for and against organizational change, and what tools might be used by top managers who work on creating a more learning-prone organization.

### *Collaboration Mechanisms*

When working together with other people, we often feel that the whole is less than the sum of its parts. Why? On a general basis, not enough attention is paid to facilitating effective collaboration practices. The tools in this section may be used to promote group thinking, strengthen relations and develop shared beliefs.

### *Knowledge sharing and learning processes*

Effective KM involves exchanging content in a simple yet effective manner. It is about applying straightforward techniques in order to develop better activities based on past experience.

### *Knowledge capture and storage*

There are many ways in which knowledge and information may be lost at any time. Several techniques can be applied to secure essential knowledge within the organization: from traditional information management tools (e.g. shared folders) to more modern tools (e.g. blogs).

Based on these competencies, Collison and Parcell developed a framework that may be used by teams to assess the organization's performance in terms of KM, and to identify improvement opportunities. In this case we will be using their framework to understand our performance of policy influence KM.

To use the matrix during this stage, we recommend following these guidelines:

1. **Choose the group members** that will be working on the matrix. We suggest creating a small group (4



to 6 people) that has a clear understanding of how the organization works in terms of policy influence and knowledge sharing.

2. The group should discuss the **challenges and opportunities** based on the Opportunities and Challenges Table.
3. Based on the challenges and opportunities identified, the group should **determine the level at which the organization is for each competency**. For example: Level 1 on Strategy Development, Level 2 on Management Techniques, Level 1 on Collaboration Mechanisms, Level 2 on Knowledge

Sharing and Learning, and on Knowledge Capture and Storage. Highlight the levels determined for each competency by italicizing the text in them. (See Table 13).

**IMPORTANT:** the matrix creates “ideal types”, and helps to organize the information collected from our challenges and opportunities analysis in order to take action. The ultimate goal is to get the picture that better describes the organization rather than an exact depiction (Ramalingam, 2006).

• Table 13. Matrix for the five competencies framework

	Strategy development	Management techniques	Collaboration mechanisms	Knowledge sharing and learning	Knowledge capture and storage
Level 5 (high)	Knowledge and learning are integral parts of the organization's overall strategy. A set of tools is available and well communicated, and the capacity to apply them is actively promoted.	Managers and leaders recognize and reinforce the link between knowledge, learning and performance. Managers regularly apply relevant tools and techniques, and act as learning role models. Staff terms of recruitment include references to knowledge sharing and learning.	Collaboration is a defining principle across the organization. A range of internal and external collaboration mechanisms operate with clearly defined roles and responsibilities in terms of the organizational goals. Some have clear external deliverables while others develop capability inside the organization.	Prompts for learning are built into key processes. Staff routinely finds out who knows what, inside and outside the organization, and talk with them. A common language, templates and guidelines support effective sharing.	Information is easy to access and retrieve. Selected information is sent to potential users in a systematic and coherent manner. High priority information assets have multiple managers who are responsible for updating, summarizing, and synthesizing information. Exit interviews and handovers are used systematically.
Level 4	A knowledge and learning strategy exists but is not integrated with overall goals. A set of tools for knowledge and learning is available and understood by most staff members.	Management views knowledge and learning as everyone's responsibility. Managers increasingly ask for and exhibit learning approaches. There are rewards and incentives for using such approaches.	Networks are organized around needs and have a clear governance document. Supportive technology is in place and well used. External parties are included in some networks.	'Learning before, during and after is the way things are done here.' Beneficiaries and partners participate in review sessions. External knowledge plays a role in shaping projects.	Key information is kept current and easily accessible. An individual acts as the guardian of each information asset, and encourages people to contribute. Many do.
Level 3	There are ongoing discussions about developing knowledge and learning strategy. A wide range of tools are being used across the organization.	Knowledge and learning is viewed as the responsibility of a specific role or roles.  Some managers talk the talk but don't walk the talk.	People are using networks and working groups to get results. Peers are helping peers across organizational boundaries. Formal collaboration mechanisms are being created and recognized.	People can find out what the organization knows. Some examples of learning and sharing are highlighted and recognized across the organization. Some information translates across boundaries.	<b>Specific groups take responsibility for their own information and begin to collect it in one location in a common format. Some is summarized for easy access by others. Searching information assets before starting activities is encouraged, as is sharing lessons afterwards. Some handovers take place.</b>
Level 2	Many people say that sharing knowledge is important to the organization's success. Some people are using some tools to help them with learning and sharing.	<i>Some managers give people the time to share and learn, but there is little visible support from the top.</i>	Ad hoc personal networking is used by individuals who know each other to achieve goals. This is increasingly recognized as vital to the organization.	<i>People learn before doing and program review sessions. They sometimes capture what they learn for the purpose of sharing, but in practice few do access it.</i>	<i>A few groups capture lessons learned after a project, and look for information before starting a project. There is potential access to lots of information, but it is not summarized.</i>
Level 1	<i>A few people express that knowledge is important to the organization. Isolated individuals begin to talk about how important – and difficult – it is.</i>	Knowledge and learning are viewed with scepticisms. Management thinks learning leads to lack of accountability. 'Knowledge is power' at the highest levels of the organization.	<i>Knowledge hoarders seem to get rewarded. There is little cross-cutting collaboration. Silos are hard to break down.</i>	People are aware of the need to learn from what they do but rarely have the time. Sharing is for the benefit of specific teams.	Some individuals take the time to capture their lessons, but do so in a confusing variety of formats. Most don't contribute to information assets, and even fewer search them. No exit interviews or handovers take place.

Source: Collison and Parcell (2001).

*Italics: Where we are now*

## Defining objective: Where do we want to go?

Having reached a consensus on the current state of the organization in terms of KM, it is important that the team discusses and defines the goals it aspires to achieve for each competency, taking into account a medium term time horizon (for example, two years). The organization can hope to climb up one or more

levels in the matrix, but most important is to define realistic and possible goals. That is, it is better to rise up just one level and be able to accomplish that aim than trying to reach levels 4 or 5 if the resources necessary are lacking.

In order to arrive at realistic objectives that match with the organization's capabilities, we first need to address some issues using the following questions:

- Do we have the necessary organizational support and willingness to achieve our goal?
- Can we allocate part of our budget to finance it?
- Can staff dedicate time to achieve this goal?
- How long will it take us?
- Do we have the competency required to achieve it and institutionalize it as practice?

Example:

Goal of Collaboration Mechanisms competency: Reach Level 3 in two years: People are using networks and working groups to get results. Peers are helping peers across organizational boundaries. Formal collaboration mechanisms are being created and recognized.

Having reached the box that best describes our objective by competency; we suggest going to the Matrix again and highlighting it by underlining the text. As KM resources tend to be scarce, it is also convenient to choose among the five competencies, one that is of high-priority for immediate action. This area of competency should be the one that may bring more benefits if it is improved. Once selected, you may highlight the corresponding column of the Matrix with **grey**. The next stage is about selecting the tools that we think may help improve knowledge management influence in our organization.

## Tools: With which tools may we achieve our goal?

There are a series of tools for each competency described in the framework to help us improve that particular aspect of KM in relation to policy influence. Although these tools may be used in more than one competency, we have defined those we believe that work best in each case.

• Table 14. Toolbox

	Strategic development	Management techniques	Collaboration mechanisms	Knowledge sharing and learning processes	Knowledge capture and storage
Internal	Social networks analysis	Guilt behavior v. winning behavior  Identify and share best practices	Communities of practice  Mental maps  Six-hat thinking  Knowledge-based activities	Storytelling  Peer assistance  Internal newsletter  Intranet  Challenging sessions	Internal handbook  Exit interviews  Shared folders  Knowledge harvesting  Staff directory
External	Social networks analysis	Identify and share best practices	Scenario testing  Learning actions  Communities of practice	Forums and meetings  Workshops and training  Knowledge fairs  Storytelling  Virtual media	Directory of policy influence experts

Source: Own elaboration.

## Has our strategy been successful? Evaluation

As the ultimate goal of KM is improving influence on public policy, the best and most reasonable option is to link evaluation of KM with the entire evaluation plan of the influence the organizations seeks to exert.. This can be done at an organizational level or in a particular project. In order to examine whether the KM has been well implemented, we recommend the use of one of two approaches; the first is focused on scope and the second focuses on activities. By observing scope, attention is payed to the objectives that have been accomplished, in

this case KM, is focused as an integral tool (not as a separated instance) that helped achieved results. For example, an organization can examine if costs have been reduced; if a process has been done in a more efficient way or if results were of better quality. Under an activity approach, attention is placed on the specific KM action that was implemented. What practices of KM have been used and what were their effects? What is focused here is how many times the organization members use or contribute with KM resources. Some of these indicators will be quantitative but in order to get a full understanding, it is necessary to know why people used or didn't use them. It is therefore necessary to include some questions

to assert the qualitative side of the evaluation. If the evaluation is done at an organizational level, it can be repeated every certain amount of time to discern if any advances have been made in creating knowledge and collective learning. This practice yields

important benefits as it adds value to these processes and becomes an opportunity to raise commitment to knowledge processes among members of the organization.

# Chapter 6. Tools for Knowledge Management

## Internal

Below we lay out some tools to improve knowledge management (KM) of public policy influence. First, the tools are classified as internal or external.

A second division is made by relating the tools to the competencies described in the Five Competencies Framework discussed in **Chapter 5**, indicating the most suitable tool for each section<sup>3</sup>.

• Table 15. Internal tools for Knowledge Management

Social Network Analysis	STRATEGIC DEVELOPMENT
Social network analysis is a map of the relations and flows between people, groups, organizations and other actors that process information. When applied in the context of policy influence KM, this tool plots the relations between people with experience and knowledge in the subject: Who is a source of knowledge on policy influence? With whom do they share it? In essence, the fundamental characteristic of this tool is that it shows informal relations, which are spontaneous and therefore not structured in any organizational chart. It shows the relations that are generated below the formal structure of an organization (or among them).	
Advantages	Once these flows are depicted, they may be measured. The results can be used at an individual and organizational level and they allow to: <ul style="list-style-type: none"><li>• Identify those who play a key role in policy influence (leaders, experts, entrepreneurs, etc.)</li><li>• Identify isolated teams and individuals</li><li>• Detect knowledge bottlenecks</li><li>• Detect points where flows may be improved</li><li>• Increase the flow beyond the boundaries of the organization</li><li>• Improve the efficiency of formal communication channels</li><li>• Identify opportunities where an increase in the flow of information could have a greater impact</li><li>• Increase the importance of informal networks</li></ul> Allows top management to visualize and understand the amount of relations that can facilitate or hinder the creation and socialization of knowledge.

<sup>3</sup> Most tools described in this Chapter are based on concepts from: *NHS National Library for Health: Specialist Library Knowledge Management* (2005); Ben Ramalingam's *Tools for knowledge and learning* (2006); Canadian international Development Agency's *Knowledge Sharing* (2003); and techniques from CIVICUS internal communication toolkit available online at [www.civicus.org/new/.../CIVICUSInternalCommunicationToolkit.doc](http://www.civicus.org/new/.../CIVICUSInternalCommunicationToolkit.doc). These tools can be applied to other types of knowledge and to managing organizational knowledge in general. In this handbook the tools relate to policy influence.

Social Network Analysis	STRATEGIC DEVELOPMENT
Keep in mind	Since informal relations tend to change and evolve over time, the map should be periodically updated (e.g. yearly)
Implementation	<p>In order to perform an analysis of social networks, questionnaires and/or interviews should be conducted to collect information about existing relations, in other words, about who interacts with whom in a spontaneous way to obtain and/or receive knowledge about policy influence. This information is then mapped using special software called NodeXL, which plots networks based on the information found through in the interviews. This provides a basis on which to plan and prioritize appropriate changes and interventions to improve social connections and information flows.</p> <ol style="list-style-type: none"><li>1. Identify the group or network to be analyzed (team, workgroup, program, organization, etc.)</li><li>2. Gather background information (interview key managers and staff to understand specific policy influence needs and problems).</li><li>3. Assert goals by defining the scope of analysis and agreeing on the required level of the report. On what level do we want to know who relates with whom? On a management, staff or external actors level?</li><li>4. Develop hypotheses and questions. Example: On policy influence issues, Directors only seek advice from their peers</li><li>5. Develop research methodology and draft questionnaires</li><li>6. Research the network to identify relations and flows of information among mapped individuals</li><li>7. Use software and map to visualize relations</li><li>8. Review map, and highlighted problems and opportunities using interviews and/or workshops</li><li>9. Develop and implement actions to introduce desired changes</li></ol>
Blame Behavior vs. Gain Behavior	MANAGEMENT TECHNIQUES
<p>This is a very simple tool that helps top managers illustrate their own attitudes and mistakes in processes of policy influence. It may also be used on an organizational level and for all types of issues.</p> <p>Argyris (2001) demonstrated that skilled professionals were particularly good at using defensive reasoning because they had never learned how to learn from failure. At the point that mistakes happen, such people become defensive, screen out criticism, and put the 'blame' on anyone and everyone but themselves (Blame Behavior). This stands in clear contradiction with the need for openness and self-critical analysis required for effective learning (Gain Behavior).</p>	
Advantages	<p>This tool requires an organizational willingness to learn from mistakes. Knowing how to learn from mistakes is fundamental since processes are highly complex and sometimes even chaotic. They require frequent revisions of the way we act, and of which actions were successful and which were not. It is about constant trial and error processes.</p>

Blame Behavior vs. Gain Behavior		MANAGEMENT TECHNIQUES
Keep in mind		Keep in mind that we are dealing with an uncomfortable issue and that top managers are not used to being questioned. This technique should be carried out professionally, generating a friendly and relaxed environment that facilitates openness. A good idea is to have “allies” who can break the ice by sharing their own experiences.
Implementation		<ol style="list-style-type: none"><li>1. Use a flipchart or projector to show the Blame vs. Gain Behaviors to the group. Read out each ‘Blame Behavior’ and the corresponding ‘Gain Behavior’, and ask for comments on each one as they are read out. (A comparative table can be found in <b>Annex 7</b>)</li><li>2. Ask participants to volunteer examples of when they had been on the receiving end of blame behaviors or gain behaviors, and ask for their reasoning as to why this happened and its consequences. Capture the points on flipchart sheets. Don't worry if things build slowly – this is an inherently uncomfortable subject!</li><li>3. Repeat Step 2 for when the participants had demonstrated blame or gain behaviors. Ask for reasons.</li><li>4. Get the group to reflect collectively on whether blame behaviors are always unjustified, or if gain behaviors are always appropriate. Try and get a shared idea on what an appropriate balance would be.</li><li>5. Brainstorm ideas for taking a more balanced approach on dealing with mistakes across the organization.</li></ol>
Identify and share best practices		MANAGEMENT TECHNIQUES
		<p>Sharing practices is often one of the first things done in a KM initiative.</p> <p>A ‘best practice’ is basically the most effective process or methodology to reach a certain goal. Some prefer the term “good practice” and question the fact that there may be only one ‘best’ practice. Approaches evolve and are constantly updated. In other words, a ‘best practice’ is one that has been proven to work and to produce positive results, and can therefore be taken as a model.</p> <p>Much of the knowledge about best practices in policy influence is tacit. Even though this knowledge is found inside people’s heads, it is not always easy to document. Most tools to identify and share best practices entail two fundamental elements: explicit knowledge, such as a best practices database (connecting people with information); and methods for sharing tacit knowledge, such as Communities of Practice (connecting people with people). These tools complement each other. A database could provide enough information for a potential user to find a best practice and decide to implement it or not. However, the best way to share best practices is “at work” with other people and communities.</p>



Identify and share best practices	MANAGEMENT TECHNIQUES
<b>Advantages</b>	<p>The essence of identifying and sharing best practices is to learn from others how to “re-use” that knowledge. Effectively shared practices can help organizations to:</p> <ul style="list-style-type: none"> <li>• Identify and replace useless practices</li> <li>• Improve members’ performance in this practice</li> <li>• Avoid redundancies</li> <li>• Minimize duplications caused by the use of ineffective methods</li> <li>• Lower costs through greater productivity and efficiency</li> </ul> <p>Identifying best practices in policy influence is more appropriate in the case of organizations with well-developed processes and accumulated knowledge and experience in the subject. Best practices are more useful in organizations that have a certain number of areas or people performing similar but scattered tasks and that therefore do not learn from each other.</p>
<b>Keep in mind</b>	<p>In general, establishing a program to identify and share good practice is not generally a ‘quick fix’ solution for organizations that are relatively new to knowledge management. Setting up the required processes and infrastructure can be quite a hard task, unless the organization already has KM infrastructure in place. Motivation and culture are important in every KM initiative. The ease with which good practices emerge and are shared depends on the culture of the organization. If there is a ‘not invented here’ culture, then good practices will be slow to emerge and spread, as each part of the organization will defend its own way of doing things rather than learning from, and sharing with, others. Where people are generally encouraged to seek out knowledge and learning, good practices are more likely to emerge and spread.</p> <ul style="list-style-type: none"> <li>. <b>Try not to get too prescriptive</b> about good practices. Rather than putting in rigid rules that say ‘this is good practice and you should follow it’, focus more on encouraging people to develop and share good practices voluntarily.</li> <li>. <b>Add value</b>: there is little sense in focusing on capturing good practices for the sake of capturing them. Focus on how they can be used to add value. Who are the users? What are their difficulties? What kind of knowledge do they need to perform better? How can they best assimilate that knowledge?</li> <li>. <b>Maximize resources</b>: actively promote your good practice resources. Otherwise you may end up with databases and people that are under-used and not exploiting their potential.</li> <li>. <b>Evidence and benefits</b>: use case examples to show the benefits of sharing good practices, and to the extent possible, demonstrate how a good practice has contributed to better performance.</li> <li>. <b>Feedback is good</b>: remember that good practice is constantly evolving. Therefore feedback mechanisms must be built-in so that the value of existing good practices is constantly assessed, and feedback used to create further improvements.</li> <li>. <b>Resist the temptation</b> to focus on explicit knowledge – it cannot be emphasized enough that databases of good practices are insufficient since they point to examples and people, but it is through people that deep knowledge in policy influence is transferred.</li> </ul>

Identify and share best practices	MANAGEMENT TECHNIQUES
Implementation	<p>David Skyrme (2001) recommends a 6-step approach to identifying and sharing good practices:</p> <ol style="list-style-type: none"><li><b>1. Identify users' requirements.</b> This step may sound obvious, but it is not uncommon for someone given the task of capturing good practices to start by designing a database, when clearly this is a case of putting the cart before the horse. Start by considering where you can really add value. Look at what areas of the organization that need attention because of poor performance or difficult challenges. Who can most benefit from better knowledge and understanding of good practices? How will they access and use them?</li><li><b>2. Discover good practices.</b> There are various methods of identifying good practices. One approach is to look at who is producing excellent results and is therefore likely to be using good practices. Don't necessarily limit your search to only include practices within your organization.</li><li><b>3. Document good practices.</b> Good practice descriptions are usually kept in a database in a standard format. The following sections should be included: Title – short descriptive title; Profile – several short sections outlining processes, function, author, keywords, etc.; Context –What problems does it solve?; Resources – what resources and skills are needed to carry out the good practice?; Description – what are the processes and steps involved?; Improvement measures; Lessons learned – what proves difficult? What would the creators of the practice do differently if they were to do it again?; Links to resources – experts contact details, workbooks, video clips, articles, transcripts of review meetings; Tools and techniques used. The aim at this stage is not to describe the practice in great detail, but to give enough information to allow database users to decide whether it matches their needs and where they can find further information. A key consideration is how you organize and classify the information in your database so that users can readily find what they need.</li><li><b>4. Validate good practices.</b> A common approach is to have a panel of reviewers comprising internal and external subject experts and peers, who evaluate a potential good practice against their knowledge of existing practice. It is equally important to ensure that you seek input and feedback from potential users of these good practices.</li><li><b>5. Disseminate and apply.</b> Most organizations find it essential to complement this with face-to-face knowledge sharing about those good practices in policy influence. Not only does it help the recipient dig beneath the explicit knowledge and gain more in depth insights, but it can also provide a two-way benefit in that a dialogue between the conveyor of good practice knowledge and the recipient can enrich the knowledge of both. Common ways of sharing good practice knowledge include: communities of practice; improvement groups or quality circles in which teams within an organization meet regularly to discuss ways of improving a process; visits to other departments or organizations with good performance; organized learning events such as share fairs that bring people together to share specific knowledge and experience; job secondments or exchanges; etc.</li><li><b>6. Develop a supporting infrastructure.</b> Determine who will facilitate and drive the process through its initial stages, until it becomes embedded in the organization's ways of working (e.g. a team of "good practices in policy influence", or a network of good practices co-coordinators).</li></ol>

Communities of Practice (CoP)	COLLABORATION MECHANISMS
Network of people who share a common interest in a specific area of knowledge (e.g. policy influence) and are willing to work and learn together over a period of time to develop and share their knowledge.	
Advantages	<ul style="list-style-type: none"> <li>• Provide a valuable vehicle for developing, sharing and managing specialist knowledge</li> <li>• Cut across departmental boundaries and formal reporting lines</li> <li>• Can be more flexible than traditional organizational units</li> <li>• Generate new knowledge in response to problems and opportunities</li> <li>• Can be a vehicle for cultural change (creating a knowledge sharing culture)</li> <li>• Are largely self-organizing</li> </ul> <p>They also provide benefits for individual community members, including:</p> <ul style="list-style-type: none"> <li>• Having access to expert help to expand horizons, gain knowledge and seek help in addressing work challenges</li> <li>• Fostering a greater sense of professional commitment and enhance members' professional reputation.</li> </ul>
Keep in mind	<ul style="list-style-type: none"> <li>• The success of communities of practice has to do with giving them enough support and direction to ensure their value, while at the same time not imposing too much structure and therefore risking losing the informal social relationships. The challenge is to reach a balance between control and informality.</li> <li>• Successful communities of practice require a simultaneous focus on two key areas: developing the practice and developing the community. Particular roles that should be explicitly recognized are: leader (or coordinator), facilitators, and knowledge managers. Training for these roles should be considered.</li> <li>• It is a good idea to launch a community with a meeting or workshop so that members can meet each other and agree on their goals.</li> </ul>
Implementation	<p>Check if there is an existing CoP in policy influence issues that you can join before creating a new one. If you don't find anyone in that particular issue, go ahead and create it!</p> <p><b>1. Defining the scope. For example: Policy influence.</b></p> <p>At the heart of every community is a domain of knowledge that domain can be either based around a particular issue of policy influence or on some specific problems or opportunities</p> <p><b>2. Finding participants</b></p> <p>Who can make a major contribution to this community? Who are the subject experts, and possible coordinators, facilitators, and knowledge managers? Will membership be open or by invitation only?</p> <p><b>3. Clarifying the purpose and terms of reference</b></p> <p>What are the specific needs or problems that need to be addressed? What is the community setting out to achieve? How will the community benefit the organization? What are its values and ways of working? How will it be structured, organized and resourced?</p>

Communities of Practice (CoP)	COLLABORATION MECHANISMS
Implementation	<p><b>4. Developing and sustaining:</b></p> <p>. Once the initial enthusiasm of the set-up phase has passed, communities can easily wane and fade away unless they are actively developed and sustained. Here are some ideas that could help in this sense:</p> <ul style="list-style-type: none"> <li>- Ensure that members of virtual communities meet face to face at least once a year to keep personal relationships alive; allowing and promote socializing at gatherings; ensure that the wider organization supports members in taking time to participate; motivating and rewarding people for their contribution; introduce new and challenging perspectives in the subject area from time to time, either from within the community or from external experts.</li> </ul> <p><b>5. Developing the body of knowledge:</b> Creating knowledge maps; organizing knowledge resources; identifying and seeking to fill knowledge gaps. The role of knowledge managers will be particularly important here.</p>
Mind Maps	COLLABORATION MECHANISMS
<p>Mind Maps are a powerful graphic technique that can be applied to all aspects of life where improved learning and clearer thinking will enhance performance and effectiveness. It is a non-linear way of organizing information and a technique that allows capture of the natural flow of ideas. It can be applied by individuals or by groups, to improve simple tasks, such as writing a memo, and to more complex tasks, such as getting a shared perspective of a complex project.</p>	
Advantages	<ul style="list-style-type: none"> <li>• Captures the natural flow of ideas</li> <li>• May be used individually or by groups</li> </ul>
Keep in mind	<p>Think fast. The brain works best in five to seven minute bursts; so capture that explosion of ideas as rapidly as possible. Key words, symbols and images provide mental shorthand to help you record ideas as quickly as possible.</p>
Implementation	<p>Mind mapping begins with a word or image that symbolizes what you want to think about placed in the middle of the page (our mind automatically focuses on the center)<sup>4</sup></p> <ol style="list-style-type: none"> <li><b>1. Let imagination flow.</b> This is just a mental process that stimulates new ideas and connections. Start with an open, creative attitude.</li> <li><b>2. Free associate.</b> As ideas emerge, print one or two word descriptions of the ideas on lines branching from the central focus. Allow the ideas to expand outward into branches and sub-branches. Put down all ideas without judgment or evaluation.</li> <li><b>3. Break boundaries.</b> Break through the mentality that says you have to write on white paper with black ink or pencil. The bigger the paper, the more ideas you'll have. Use different colors and styles.</li> <li><b>4. Don't judge.</b> Put everything down that comes to mind even if it is completely unrelated. If you are brainstorming and a random idea comes up, write it down. Otherwise your mind will get in it and you won't be able to generate good ideas.</li> </ol>

Mind Maps	COLLABORATION MECHANISMS
Implementation	<p>5. <b>Keep moving.</b> Keep your hands moving. If ideas slow down, draw empty lines, and watch your brain automatically find ideas to put on them. Stand up and mind map on a flip chart to generate even more energy.</p> <p>6. <b>Allow organization.</b> Sometimes, you see relationships and connections immediately and you can add sub-branches to a main idea. Sometimes you don't, so you just connect the ideas to the central focus. Organization can always come later; the first requirement is to get the ideas out of your head and onto the paper.</p> <p>A Mind Map template can be found in <b>Annex 8</b>.</p>
Six Thinking Hats	COLLABORATION MECHANISMS
<p>This tool enables groups to look at a decision from several points of view. It was created by Edward de Bono in his book Six Thinking Hats and is an important and powerful technique. It is used to look at decisions from different perspectives. This forces participants to move outside a habitual thinking style and helps achieve a more rounded view of a situation. Many successful people think from a very rational, positive viewpoint: this is part of the reason they are successful. Often, though, they may fail to look at a problem from an emotional, intuitive, creative or negative viewpoint. This can mean that they underestimate resistance to plans, fail to make creative leaps, and do not make essential contingency plans. Similarly, pessimists may be excessively defensive; more emotional people may fail to look at decisions calmly and rationally. When it comes to thinking the approach to a policy influence issue and/or looking for the advantages and disadvantages of policy influence objectives, developing these points of view helps to minimize mistakes.</p> <p><b>Further information:</b></p> <p>Mind Tools, see: <a href="http://www.mindtools.com/pages/article/newTED_07.htm">www.mindtools.com/pages/article/newTED_07.htm</a>.</p> <p>De Bono, E. (1999) Six Thinking Hats, New York: Back Bay Books.</p> <p>Edward de Bono's webpage, see: <a href="http://www.edwdebono.com">www.edwdebono.com</a></p> <p>Ramalingam, Ben (2006) Tools for Knowledge and Learning, ODI.</p>	
Activity-based Knowledge Mapping	COLLABORATION MECHANISMS
<p>It is a tool that enables knowledge inputs and outputs to be linked in a systematic fashion to ongoing organizational activities and processes – from office mail to strategic reviews. It helps understand the dynamics of the activities and tasks carried out (understand how activities are ordered and why, who performs the activity, what inputs are required and how knowledge and information flows support the tasks). This results in a series of diagrams that visually display knowledge within the context of an organization. The map shows how knowledge is currently used within a given process and points to how improvements can be made. A template of this type of mapping can be found in <b>Annex 9</b>.</p> <p><b>Further information:</b></p> <p>Plumley, D. (2003) 'Process-Based Knowledge Mapping: A Practical Approach to Prioritizing Knowledge in Terms of its Relevance to a Business or KM Objective', see: <a href="http://www.kmmag.com/articles/default.asp?ArticleID=1041">www.kmmag.com/articles/default.asp?ArticleID=1041</a>.</p> <p>Ramalingam, Ben (2006) Tools for Knowledge and Learning, ODI.</p>	

Storytelling	KNOWLEDGE SHARING AND LEARNING
<p>Storytelling is quite simply the use of stories in organizations as a communication tool to share knowledge on policy influence. Storytelling uses a range of techniques to engage, involve and inspire people, using language that is more authentic and a narrative form that people find interesting and fun. Storytelling has of course existed for thousands of years as a means of exchanging information and generating understanding. However, as a deliberate tool for sharing knowledge within organizations it is rather recent but growing very rapidly, to the extent that it is becoming a favored technique among top management and consultants.</p>	
Advantages	<ul style="list-style-type: none"> <li>• It is a more interactive way of communication. The story is recreated in the listener's imagination, which no longer sees it as 'external' but as part of his/her identity. It becomes one's own idea.</li> <li>• Much of the knowledge on policy influence is tacit, composed by multiple layers and dimensions, and is therefore difficult to articulate. Storytelling allows people to express and share tacit knowledge in a rich and significant way.</li> <li>• The receiver can become actively involved in the co-creation of the transmitted idea. The knowledge in the story develops and grows constantly.</li> <li>• There's something in stories that brings people together, creating a sense of community. Since storytelling ignores hierarchies, and involves emotions, feelings and thinking processes, it helps build relations and trust. Storytelling may work as a bridge by transmitting the real essence of what each part is looking to communicate.</li> <li>• Storytelling brings along several other interpersonal communication skills. Developing these activities is part of most KM programs. Since stories convey ideas through rich and clear language, they are an excellent way of communicating ideas and concepts about policy influence that are generally hard to understand. Moreover, since feelings are part of storytelling, people can communicate more than what they think they know.</li> <li>• Storytelling is an excellent learning tool because learning implies interest (which is not frequently generated by abstract principles and impersonal processes).</li> </ul>
Keep in mind	<p>Fact versus fiction – Storytelling can be counter-productive if the policy influence story told is not true. A story can be factually accurate while being authentically untrue. <b>Oral versus written stories</b> – In the written word there is a distance between the speaker and the spoken, and so in an organizational context, it can lack some authenticity. This doesn't mean that written stories can't achieve good effects, but that they work in different kinds of ways. <b>Timing</b> – A story should be as recent as possible – older stories can work, but the fresher the better. 'This happened last week' conveys a sense of urgency.</p>
Implementation	<p><b>A beginning, middle and an end</b> – A story needs to embody whatever it is you are seeking to get across as fully as possible. Don't leave loose ends. They also need to be succinct enough for people to remember the policy influence lesson. The 'hero' – A story needs to be told from the perspective of a single protagonist, someone who everyone in the organization can instantly understand and empathize with. The '<b>happy ending</b>' – There's little room for success in a story along the lines</p>

Storytelling	KNOWLEDGE SHARING AND LEARNING
Implementation	of: “Let me tell you about an organization that didn’t implement knowledge management and went bankrupt.” In other words, focus on the positive. <b>Sense making</b> – Good stories explain something, make sense of something. They show you, for instance, how to behave in a particular situation. They usually have a prescriptive normative value: do x and y will occur. To be effective, stories must make sense within the context of the listener’s experience – they need to ring true

Peer Assistance	KNOWLEDGE SHARING AND LEARNING
Peer assistance is simply a process where a team of people working on a project or activity calls a meeting or workshop to seek knowledge and insights from people in other teams. It implies ‘learning before doing’, that is, the process of learning before undertaking a task, activity or project, facilitated by peer assists. It is also about ‘learning during doing’, during the process. Finally, it also implies ‘learning after doing’, facilitated by Retrospects or a Review After Action.	
Advantages	<p>The advantages of peer assist in policy influence projects are clear: learning is directly focused on a specific task or problem, and it can be applied immediately.</p> <ul style="list-style-type: none"> <li>• This tool allows the team involved to gain input and insights from people outside the team. This allows finding new lines of enquiry or approach.</li> <li>• It leads to reusing existing knowledge and experience rather than having to reinvent the wheel.</li> <li>• Peer assists promote sharing of learning between teams, and develop strong networks among people.</li> <li>• Peer assists are relatively simple and inexpensive to carry out: they do not require any special resources or any new, unfamiliar processes.</li> </ul>
Keep in mind	<p>Ensure everyone is clear about the purpose of the peer assist and their roles:</p> <ul style="list-style-type: none"> <li>• Learning team listens in order to understand and learn.</li> <li>• Participants share knowledge and experience to help resolve the challenge without adding to the workload.</li> <li>• Participants should be given briefing materials in advance so they have time to prepare.</li> <li>• Just as the participants themselves, an external facilitator is essential to make sure the diverse needs of the participants are met.</li> <li>• If possible, allow time for the teams to socialize. Rapport is essential for open learning.</li> <li>• Although the peer assist process is designed to provide input for a specific purpose or project, consider who else might benefit from the lessons learned. Always look out for opportunities to share and reuse knowledge and learning.</li> <li>• It is worth using a peer assist when a team is facing a challenge, where the knowledge about and experience in policy influence from others can really help, and when the potential benefits outweigh the costs of travel. In most contexts, an important consideration is that of evidence-based practice. You might wish to carry out an After Action Review following your peer assist to look at whether the process went according to plan, what was different and why, and what can you learn from that for the next time.</li> </ul>

Peer Assistance	KNOWLEDGE SHARING AND LEARNING
Implementation	<p><b>Develop a clear definition</b> of the policy influence problem to be addressed. It may be worthwhile doing some background research on whether similar issues have been, or are being, faced elsewhere. The definition should include a set of hoped-for outcomes from the peer assist process.</p> <p><b>Enlist participants.</b> It is worth getting a good mix of people playing a range of roles across different locations, and from different positions in the organizational hierarchy, with the proviso that peer assist work best when there is some common ground, and scope for open honest interactions. Consider including people from outside, but only if this will not disrupt internal sharing. It may be worth bringing in outside experts after the internal process has been completed.</p> <p><b>Time the meeting carefully.</b></p> <p><b>Run the peer assist meeting.</b> Effective peer assist meetings comprise six parts.</p> <ol style="list-style-type: none"><li>1. The learning team presents context, history and ideas regarding the task or issue at hand. This should occur in an open and flexible manner to enable redefinition in the session.</li><li>2. Allow the participants to consider the problem, and discuss issues of interest – namely, what has been covered, and what hasn't been covered.</li><li>3. Session in which participants consider what the learning team might need to know to address the policy influence problem and where might they find that knowledge.</li><li>4. Participants reflect on what has been learned from the others and to examine options. Again, the learning team should not be the focus here.</li><li>5. Participants should present feedback to the learning team and answer specific questions. This should be informal, and deal with what has been learned, what options there are and experiences elsewhere. Begin with the positive and then move on to options to do things differently. When presenting what has worked elsewhere, participants should be encouraged to describe rather than prescribe.</li><li>6. The team who called the peer assist should acknowledge the contribution of the participants. There should be a commitment to a timeline for delivery of an action list of key lessons learned, and what the learning team is going to do differently in order to achieve better policy influence results. Finally, all the participants should be invited to reflect on what they learned, and how they might apply it going forward.</li></ol> <p>Develop a set of lessons and related options to shape the learning team's decision-making process and provide pointers to future actions. This document should be shared with the peer assist participants for final comments and suggestions, and then placed in a publicly accessible place such as an intranet.</p>



Internal Newsletter	KNOWLEDGE SHARING AND LEARNING
	<p>This is different from the bulletin the organization normally sends to external audiences and has information that is relevant only to the staff. An internal newsletter is ideal for communicating changes in the staff, changes of policies and procedures, and updates about programs and organizational developments. It could also include a column by the Executive Director and contributions from the staff. Finally, it is also an ideal tool to inform about successful policy influence cases and the organization's overall progress in this subject.</p>
<b>Advantages</b>	<ul style="list-style-type: none"> <li>• Ideal for storytelling and informing staff about policy influence projects.</li> <li>• Easy to systematize and no specific software is needed for e-bulletins.</li> </ul>
<b>Keep in mind</b>	<p>Newsletters have sections with different contents such as: institutional news, new projects, research trips from the staff, clipping, open section, etc. In order to ensure there will be information to publish it could be designated a member from each team to be responsible for gathering relevant information to publish.</p> <p>It can include a column written by the Executive Director and staff contributions. It is a good tool to spread information on successful impact cases and lessons learnt. Newsletters are a useful resource to use Storytelling.</p>
<b>Implementation</b>	<p>What information about policy influence do we want to include? (Successful and not so successful cases, tips, weekly/monthly brief, etc.)</p> <ol style="list-style-type: none"> <li>1. Who will be writing the content?</li> <li>2. Who will be responsible for editing the stories?</li> <li>3. How will it be distributed? (Paper copies in transit areas, by mail, etc.) We recommend e-mail.</li> <li>4. How frequently?</li> <li>5. Who will be approving its contents?</li> </ol>
Intranet	KNOWLEDGE SHARING AND LEARNING
	<p>An intranet is a virtual space that can only be accessed by organization members. All web page functionalities are present in an Intranet (uploading documents, downloading forms, database, etc.) but with controlled access. The more common applications are:</p> <ul style="list-style-type: none"> <li>• Information gathering</li> <li>• Cooperation and communication</li> <li>• Tasks</li> </ul> <p>No Intranet will be exclusively focused on one of the above applications. However, successful Intranets usually focus on one of them, supported by other applications.</p> <p><b>Further information:</b>  <a href="http://www.odi.org.uk/resources/download/155.pdf">www.odi.org.uk/resources/download/155.pdf</a>  Lash, J. (2003) 'Three Strategies to Intranet Development' <a href="http://www.digital-web.com/articles/three_approaches_to_intranet_strategy/">www.digital-web.com/articles/three_approaches_to_intranet_strategy/</a>.</p>

Challenge Sessions	KNOWLEDGE SHARING AND LEARNING
<p>When we think about the possible results of a policy influence action, the underlying assumption is that the future will correlate with the past. Although such thinking may be necessary in certain situations, individuals and groups often get stuck in certain modes of thinking, and do not attempt to think beyond them. When a new challenge is posed, the way in which people are conditioned to think makes adjustments difficult. This has led to the development of the Challenge Session: a structured problem-solving framework that aims to create changes in the way that groups or individuals think about and solve problems.</p> <p><b>Further information:</b></p> <p>De Bono, E. (1993) Serious Creativity: Using the Power of Lateral Thinking to Create New Ideas, New</p> <p>Ramalingam, Ben (2006) Tools for Knowledge and Learning, ODI.</p>	
Internal Handbook	KNOWLEDGE HARVESTING
<p>A handbook describes the internal processes and policies and should not include information that might change. Staff can also learn about their rights and responsibilities and about the organizational culture.</p>	
Advantages	<ul style="list-style-type: none"> <li>• It is a key tool to generate and consolidate an organizational culture because it sets processes and policies that build a work culture.</li> <li>• It can help to improve relations between the staff and the organization and also to socialize knowledge about policy influence.</li> </ul>
Keep in mind	<p>Should be of easy access to anyone who has to implement a policy influence plan. We recommend having it both printed and in electronic format in the intranet or e-library. Having rules written down helps enforce transparency within the organization and homogenize external communication.</p>
Implementation	<p>Some items that may be included in public policy influence section are:</p> <ul style="list-style-type: none"> <li>- Principles regarding relationship with politicians (hierarchy, level of government, power, issue, etc)</li> <li>- Principles regarding relationship with the media</li> <li>- Means that the organizations uses to communicate with politicians</li> <li>- Registration and contact management</li> <li>- Procedures for contract with government policy</li> <li>- Tools for influencing public policy decision-making</li> <li>- Tools for building a communications plan</li> </ul>
Exit interviews	KNOWLEDGE HARVESTING
<p>Exit Interviews are usually thought of as a rather formal interview between a manager and staff member leaving an organization, focusing on the latter's reasons for leaving. Increasingly, however, exit interviews are a label for a specific learning process emphasizing the importance of capturing and storing know-how. Obviously, it is impossible to capture all of the knowledge of any individual, but exit interviews are designed to minimize the loss of useful knowledge through staff turnover and ease the learning curve of new staff.</p>	

Exit interviews	KNOWLEDGE HARVESTING
<b>Advantages</b>	<ul style="list-style-type: none"> <li>• The person that leaves the organization gets to reflect on their role, and hopefully leave on the positive note of leaving a positive impact on the team or organization.</li> <li>• Vital knowledge about policy influence is not lost by the organization when people leave</li> <li>• The learning curve of new people joining the organization is shortened</li> <li>• They can be done relatively quickly and inexpensively and can result in the leaver having a more positive view of the organization.</li> <li>• Done correctly, exit interviews can be a win-win situation for both the organization and the leaver.</li> <li>• The organization gets to retain a portion of the leaver's knowledge about policy influence and make it available to others, while the leaver gets to articulate their unique contributions to the organization and to 'leave their mark'.</li> </ul>
<b>Keep in mind</b>	<p>Get the leaver involved from the outset. Ask them for their inputs on how the organization might best benefit from their knowledge, experience, contacts, etc., prior to departure.</p> <ul style="list-style-type: none"> <li>• While HR need to be involved in the process, it may be best that a relevant peer or subject expert undertakes knowledge-focused interviews, as long as they are appropriately skilled or trained.</li> <li>• If at all possible, there should be an overlap period between the leaver and their successor so that a 'live' handover can be done.</li> <li>• Exit interviews are usually only appropriate for employees who resign voluntarily or retire, rather than those who are fired or made redundant.</li> <li>• There is a real need to be clear about how the knowledge gathered will be used; the purpose of the interview is to gather knowledge that will actually be used.</li> </ul>
<b>Implementation</b>	<ol style="list-style-type: none"> <li>1. Exit interviews can be conducted in a variety of ways: face-to-face, over the telephone, using a written questionnaire, or via the Internet using an exit interview management system.</li> <li>2. Think carefully about the information you would like to gather before the interview and start your preparations early. The primary focus is on knowledge that would be helpful to the next person who will do the job or to others in the organization doing similar jobs.</li> <li>3. Identify who in the organization might benefit from that person's knowledge and what they will need to know.</li> <li>4. Work out a plan to capture the leaver's knowledge. This should include both explicit and tacit knowledge. In the case of explicit knowledge, make sure the leaver moves relevant files – both hard copy and electronic – into shared folders or a document library. For tacit knowledge, you will need to interview the leaver face-to-face. You can base the interview on reviewing the key tasks the person does and asking about points to be aware of. Find out about their network of contacts and sources of knowledge.</li> <li>5. Think carefully about whom will be the interviewer. You will need to consider issues of trust and honesty.</li> </ol>

Shared Network Drives	KNOWLEDGE HARVESTING
	<p>In most organizations' computer networks, there are a series of drives used for the storage of information. These are often divided up into the following categories: An organization-wide shared drive, containing documents relevant to the whole organization; a branch, or group shared drive, containing documents relevant to a single organizational unit; a personal drive, containing documents relevant only to individuals.</p>
<b>Advantages</b>	<ul style="list-style-type: none"> <li>• Promotes the culture of sharing documents. Users begin to think about the best way to publish and make information available to others. Increases document consistency.</li> <li>• Reduces the number of copies saved in individual drives.</li> <li>• Transcends those who generate and use documents. New staff has access to documents generated by former organization members.</li> <li>• Unifies KM responsibilities and activities under one single umbrella.</li> <li>• Staff has access to knowledge that would be otherwise unavailable.</li> </ul>
<b>Keep in mind</b>	<p>It is necessary to identify clear and acceptable use policies for the 'policy influence folder'. Good practices in managing electronic documents should be initiated in both the user workspace and the organization workspace. Use incentives to have organization members publish information and knowledge about public influence in the appropriate folder instead of using their individual drives. Extending disciplined management to shared network drives will eventually involve decisions on appropriate technological support platforms and coherent policies and procedures. Consideration should be given to:</p> <ul style="list-style-type: none"> <li>• The risk of losing documents;</li> <li>• The need to provide back-up storage;</li> <li>• The implications of shared storage for network traffic and bandwidth requirements;</li> <li>• Clear identification of material that should be entrusted to a shared drive and material that should be entrusted to the non-shared environment;</li> <li>• Removing documents which no longer should be kept.</li> </ul> <p>Consider using a coordinator who will capture policy influence information from projects and add them to the folder as best practices or case studies; identify links with important sources of knowledge both within and outside the organization; act as a liaison between those seeking certain information and those who can provide it (policy influence experts, people working on similar issues, etc.).</p>
<b>Implementation</b>	<ol style="list-style-type: none"> <li>1. Create shared drives or folders on the organization's server. Define those that will be public (accessible to all members) and those that will be accessible to certain members or teams.</li> <li>2. Create a folder for information and knowledge about policy influence. It should be public.</li> <li>3. Implement 'publish and point' across the organization: This is a method of controlling the duplication of a document being circulated. Instead of attaching the document to an email message, which gives each recipient an individual copy, a read-only version of the document is placed on a shared drive – 'published' – and a 'pointer' or shortcut is emailed.</li> </ol>

Shared Network Drives	KNOWLEDGE HARVESTING
Implementation	<p>4. Establish a general filing structure to make documents easier to find. It should: use simple but logical structures which meet the needs of both the organization and the users; not use individual names or position titles for directory or folder names; use names which identify logical elements of their content. The use of common terminology is essential to integration. Alphabetical folder titles are generally more usable in the electronic environment than numerical ones.</p> <p>5. The folder location should not be changed. It can include other subject-based sub-folders (education, healthcare, transparency, etc.) and an e-library. Although all members should be able to upload documents to any folder, the organization should establish the number and subjects of folders and who will be responsible for keeping the information organized.</p>
Knowledge Harvesting	KNOWLEDGE HARVESTING
<p>Knowledge harvesting is an approach that allows the tacit knowledge or know-how of experts and top performers in an organization to be captured and documented. This know-how can then be made available to others in various ways such as through training programs, manuals, best practices and knowledge management databases.</p>	
Advantages	<p>Knowledge in organizations exists in two forms: explicit knowledge, which is easily captured and shared; and tacit knowledge, which is more experiential and intuitive, and so is less easy to articulate. Knowledge harvesting is about trying to make some of the tacit knowledge more explicit. Its aim is to help organizations make better and wider use of their existing knowledge by extracting it from the heads of a few key people and making it available to a much wider range of people.</p>
Keep in mind	<p>Before embarking on a knowledge harvesting program, you need to consider:</p> <ul style="list-style-type: none"><li>• Whether your organization's culture is one that encourages knowledge sharing. Successful knowledge gathering and sharing is unlikely to happen if people feel they would be at a disadvantage by sharing their knowledge. For example, experts may feel that their status or job security depends on keeping their knowledge to themselves.</li><li>• Be clear about how you intend to package and make available the knowledge you have harvested and that you have the resources to do so. Otherwise you may end up with a stock of potentially useful knowledge that is going to waste.</li><li>• Not all tacit knowledge can be made explicit. There will always be aspects of know-how and experience that remain tacit. For those aspects, you will need to apply other knowledge management tools. The challenge is therefore to determine how much of the tacit knowledge about policy influence in your organization can be harvested and made explicit, and how much is best approached in another way.</li><li>• Some knowledge management practitioners feel that it is a mistake to focus on capturing and documenting tacit knowledge. Their view is that there is greater value in connecting people with each other so that they can share their tacit knowledge through 'live' discussion, and so they favor knowledge management tools such as communities of practice, storytelling, etc. Altogether, it is wise to look at a combination of approaches, and adapt them to the specific needs and circumstances of your organization.</li></ul>

Knowledge Harvesting	KNOWLEDGE HARVESTING
Implementation	<p>While there is no set formula for knowledge harvesting, there are some general guidelines that facilitate the process:</p> <p>Focus. Decide on what specific knowledge and expertise you want to capture, and be clear about what the benefits will be. It is neither possible nor desirable to capture everything that everyone knows. If you want to try to capture knowledge about policy influence, think about the organizational goals related to this issue.</p> <p>Target audience. It is important to understand who will be using the knowledge that you are capturing before you start to capture it. This will help you ensure you capture the right knowledge at the right level, and make it available in the most appropriate ways. Consider who will be your target audience, how many of them there are, where they are located, what their needs are; what is their current level of knowledge of it; how will they apply the knowledge; what access do they have to various media such as an intranet; etc?</p> <p>Find your experts. Identify the people who have the knowledge and know-how you are seeking to capture. If you have a staff directory that includes details of people's skills and knowledge then this is a good place to start. Otherwise you might look at key documents on a subject and see who authored them, or ask managers and staff working in the area. Bear in mind that experts are not necessarily the most senior people in the organization. Once you have found your experts, you can then collate some relevant background information about them including job descriptions, roles and responsibilities, education and training, work experience etc.</p> <p>Choose your harvesters. An effective interviewer is crucial. Much of the success of knowledge harvesting relies on the ability of the interviewer to elicit the right knowledge from experts. Making tacit knowledge explicit can be difficult – people often don't 'know what they know'. Helping people to talk about what they know, and then capturing that effectively, is a key skill.</p> <p>Harvest. Interview your experts. The best way to capture tacit knowledge is using face-to-face interviews. The interviews will involve asking them to talk about what they do and about their experience in policy influence, and to describe specific situations in which they have applied specific know-how. Interviews need to be well prepared in advance, including drafting a list of questions. You can find some examples of questions in Annex 10. Some people recommend a process whereby the harvester conducts initial interviews with experts, and then presents the results to a group representing the eventual users of that knowledge, to test how they understand it.</p> <p>Organize, package and share. Once the knowledge has been gathered it can then be edited, organized and presented in different ways (handbook, guidelines, etc). Ideally, if all organization members have access to a computer, this knowledge can be made available in a knowledge database or on the organization's intranet. In some cases, the information is loaded into interactive software to provide an online tool to help users through relevant decision-making processes. For example, such a system might provide a variety of multiple-choice questions that guide the user to define a problem and apply the relevant criteria to solve it.</p> <p>Apply, evaluate and adapt. It is important to ensure that the knowledge you have captured is being accessed and applied and that users are getting value from it. Knowledge harvesting can result in relatively static documents that will, at some point, become out-of-date and so they will need to be continually refreshed if they are to retain their value.</p>

Staff Directory	KNOWLEDGE SHARING AND LEARNING
This tool helps people to find others in their organization that have knowledge and expertise in policy influence. It is a directory that aside from listing people's names, job titles, departments and contact details, it includes details about their knowledge, skills, experience and interests on policy influence.	
Advantages	Helps finding experts in influencing public policy in other organizations
Keep in mind	The information in these 'White Pages' can be completed after using the Knowledge Harvesting tool. They should be electronic and easily accessible through, for example, the intranet.
Implementation	Include in the directory the information that it is collected through welcome/exit interviews, consultation about best practices, etc.

External

Once we know the current state of policy influence KM in our organization and we have identified the tools we will use to improve each competency described in the Matrix, it is time to consider our management towards the outside. Several tools, some of which we may already be using, are explained in

some detail below in order to maximize their application in knowledge about policy influence and to begin to think about sharing our knowledge with others more efficiently. Some 'internal tools' may be used externally and vice-versa. We are simply noting those that we consider more helpful and easier to apply in each context.

• Table 16. External tools for Knowledge Management

Social Network Analysis	MANAGEMENT DEVELOPMENT
Described in 'Internal Tools' in page 69.	
Identify and share best practices	MANAGEMENT TECHNIQUES
It is a methodology that helps to identify the best way to pursue an objective. Best practices may be shared between organizations.	
Advantages	It is one of the tools most used among organizations to share not only knowledge about policy influence but also other organizational knowledge which may help to improve internal management. Many organizations are mobilized to share; it is a good opportunity to make their expertise visible to others and to strengthen their reputation.

Identify and share best practices	MANAGEMENT TECHNIQUES
Keep in mind	Although ideally such exchanges should be done face-to-face (questions are answered, the experience is explained and contextualized by the presenter), other virtual channels can also be used (email, newsletters, forums, communities of practice, etc).
Implementation	See details in 'Internal Tools' in page 71. <b>Further information:</b> <a href="http://www.skyrme.com/kshop/kguides.htm">www.skyrme.com/kshop/kguides.htm</a> . <a href="http://www.library.nhs.uk/knowledgemanagement">www.library.nhs.uk/knowledgemanagement</a> .

Scenario Testing	COLLABORATION MECHANISMS
<p>Scenario testing is a group learning activity that is very useful for policy influence activities and projects carried out through networks. The basic premise may be used more widely in all kinds of settings, whether generating a knowledge strategy paper, a workshop, or an email debate. Generally, scenario testing would deliver three scenarios: a positive (or optimistic), negative (or pessimistic), and neutral (or middle-of-the-road) scenario. By actively using 'scenarios', several concerns and outcomes can be addressed at the same time with the purpose of identifying potential obstacles and opportunities for policy influence and thus activities and specific tools may be included in the development of the project.</p> <p><b>Further information:</b>  <a href="http://ag.arizona.edu/futures/tou/tut2-buildscenarios.html">ag.arizona.edu/futures/tou/tut2-buildscenarios.html</a>  <a href="http://www.odl.org.uk/resources/download/155.pdf">www.odl.org.uk/resources/download/155.pdf</a>.</p>	

Action learning	COLLABORATION MECHANISMS
Action learning is a structured mechanism used to address complicated issues that may rise when working with other organizations.	
Advantages	It is useful for facing some complications that may appear while working with other organizations. It is especially appropriate for directors and for learning at a managing level.
Keep in mind	Ideally you should use small groups. It may be carried out through conference calls when meeting in person is not possible. Action learning sets are made up of between six and eight people who meet together regularly over a reasonable time period and 'present' and collectively work on problems faced during an ongoing practice. The group then helps the 'presenter' work on that problem through supportive but challenging questioning: encouraging a deeper understanding of the issues involved; a reflective reassessment of the 'problem'; and an exploration of means to move forward.
Implementation	For a template of an action learning Table, see <b>Annex 10</b> . Further information: NatPaCT website: <a href="http://www.natpact.nhs.uk/cms/316.php">www.natpact.nhs.uk/cms/316.php</a> .



Communities of Practice	COLLABORATION MECHANISMS
Described in 'Internal Tools' in page 74.	
Forums and meetings Workshops, training programs and seminars	KNOWLEDGE SHARING AND LEARNING
<p>Small meetings, discussion groups and forums may serve as opportunities to share knowledge and learn. However, in order for this to happen, they must be organized with the final goal of sharing and learning about policy influence. When we speak of forums and meetings we are referring to any type of meeting that includes oral expositions: conferences, congresses, isolated round-table discussions, panel presentations, and any type of regular meetings through which people gather.</p> <p>Although meetings where people listen to a panelist without interruptions are very frequent, a more dynamic and stimulating way of learning is increasingly gaining acceptance: learning groups. They can be found in workshops, training programs or seminars. The idea is to have peers interact; make people exchange knowledge; and discuss and benefit from others' perspectives and experience. There is no presenter conducting the meeting but a facilitator whose role is to guide various activities and discussions throughout the event. There are several methods that may be used to share knowledge and that may be adapted to different needs depending on the situation.</p>	
Advantages	<p>Every type of face-to-face meeting (forums, workshops, etc.) largely increases learning capability. Even though organizing these meeting between organizations takes time and money, they are of great value. By making a wise use of time, we may turn meetings into better learning events. There is substantial information available on how to improve events and meetings, increase assistance and make them more efficient. Meetings are part of a long process and should not be regarded in an isolated way. They have several advantages:</p> <ul style="list-style-type: none"><li>• Active learning</li><li>• Access to specific policy influence tools</li><li>• Generation of trust</li><li>• Deeper discussions</li><li>• Stronger working ties</li><li>• Integration of different ways of sharing knowledge</li><li>• Flexible structure</li><li>• Access to diverse experiences</li></ul>
Keep in mind	<ul style="list-style-type: none"><li>• Consider the number of people that will be attending: processes for a meeting of 50 people are different than for a meeting of 20.</li><li>• Ensure a clear follow-up: who will do what and when.</li><li>• Once over, make an evaluation of the meeting process: facilitator's performance, clear articulation of goals, ability to focus on the meeting subject, etc. This will help to improve members' capabilities.</li></ul>

<b>Forums and meetings Workshops, training programs and seminars</b>	<b>KNOWLEDGE SHARING AND LEARNING</b>
<b>Keep in mind</b>	<ul style="list-style-type: none"> <li>• Workshops: try new ways of teaching, talk with others who have done similar activities, repeat good practices and avoid failed ones.</li> <li>• Learn from peers. Keep your eyes wide open. There's always an opportunity to learn.</li> </ul>
<b>Implementation</b>	<ol style="list-style-type: none"> <li>1. The meeting process should be planned ahead and be straight-forward for organizers by assigning responsibilities.</li> <li>2. Everyone should share the goal of the meeting.</li> <li>3. Participants: identify and invite them in advance to let them plan ahead and assist.</li> <li>4. Choose a comfortable venue where you can make a power point presentation. Take the number of participants into account.</li> <li>5. During the meeting: create instances for each participant to share ideas.</li> <li>6. Presentations: get to the point and keep to time (generally no longer than 20 minutes)</li> <li>7. Look for interaction: presenters should be ready not only for questions but also plan group exercises to generate material for a general discussion.</li> </ol>

<b>Knowledge Fairs</b>	<b>KNOWLEDGE SHARING AND LEARNING</b>
<p>We often have substantial information and knowledge about policy influence that may be useful to similar organizations. Knowledge fairs are designed to share knowledge on a particular issue (in this case, policy influence) and can be organized in different ways using panels, exhibit booths, demonstrations, and presentations. They can take either a full day or two or three consecutive days. Knowledge fairs usually take place in a space large enough to hold different simultaneous activities among which attendants can choose to participate.</p>	
<b>Advantages</b>	<ul style="list-style-type: none"> <li>• Allows for sharing lots of information</li> <li>• People focus on what most interests them</li> <li>• Excellent opportunity for networking and establishing new contacts for the future</li> <li>• Organizers strengthen their team spirit and group work skills</li> <li>• Allows for recognizing best practices and personal achievements</li> <li>• Opportunity to participate in informal and spontaneous activities</li> </ul>
<b>Keep in mind</b>	<ul style="list-style-type: none"> <li>• Knowledge fairs demand time and effort</li> <li>• They can be expensive</li> <li>• Beware of information overload</li> <li>• Publicize the fair widely</li> <li>• Get top level support</li> </ul>

Knowledge Fairs	KNOWLEDGE SHARING AND LEARNING
Implementation	<ol style="list-style-type: none"> <li>1. Define topic and audience. Then decide date and location.</li> <li>2. Be clear on the number of activities that can be carried out depending on the number of attendants.</li> <li>3. Include different types of activities: formal conferences, case studies presentations, workshops, interactive activities, etc. Keep in mind that knowledge fairs are a space to meet and interact with others in several different ways.</li> </ol>

Virtual Media	KNOWLEDGE SHARING AND LEARNING
<p>One of the easiest and least costly way of sharing knowledge is through virtual tools such as newsletters, web sites, and blogs. These are very useful and accessible tools when we need to think about developing our way of managing knowledge and sharing it with other organizations. Newsletters can be published every 15 days, monthly or bi-monthly. When it comes to policy influence issues, leave enough time between issues to gather relevant news and information. A good idea for web sites is to include - aside from institutional information – a section on policy influence, lessons learned, best practices and contact information to share any particular information or answer questions. Blogs are a recently developed tool that continues to grow. They can include daily posts about policy influence and be kept and updated by one or more organizations.</p>	
Advantages	<ul style="list-style-type: none"> <li>• All three tools are manageable and don't usually require technical assistance</li> <li>• Geographical distance is not an issue</li> <li>• Quick access to information</li> </ul>
Keep in mind	<ul style="list-style-type: none"> <li>• Invite external experts to write articles in the blog</li> <li>• Choose other blogs that have similar topics to participate and comment on your blog</li> <li>• Remember that these three tools have different functionalities. A web site will have institutional information that changes little over time and a section on policy influence where we want to communicate, for example, news that should be updated on a weekly basis. A newsletter will include long-term news and more analytical and in-depth articles. A blog is more informal and posts shorter articles leading to discussion and exchange of ideas.</li> <li>• Web site: daily news; Newsletter: analysis articles and long-term news; Blog: short articles and informal comments, experience exchange and online debate.</li> <li>• Keep them aligned with the organization's mission and vision.</li> <li>• Key to success: keep them updated!</li> </ul>
Implementation	<ol style="list-style-type: none"> <li>1. Think about the format needed before launching them: text only, photos, videos, document sharing, resources, etc. These needs will shape the final format.</li> <li>2. The look and feel of the tool should be consistent with the organization's identity.</li> <li>3. Define sections to avoid repetitions.</li> <li>4. Use web site and newsletters to promote debate on the blog.</li> </ol>

<b>Storytelling</b>	<b>KNOWLEDGE SHARING AND LEARNING</b>
Described in 'Internal Tools' in page 77.	
<b>Directory of Policy Influence Experts</b>	<b>KNOWLEDGE HARVESTING</b>
Aside from an internal staff directory, it may be very useful to have a directory of Latin American organizations with a list of members that work on public policy influence. This directory could include the following information: name, last name, organization, and position, area of expertise in policy influence, experience, and contact information. This tool could be shared through a community of practice. This type of information allows for tighter links by opening the door to joint projects and for access to information about the experience of other organizations.	



# Chapter 7. Latin American experiences

In this chapter some M&E and KM experiences public policy influence are described. The four cases selected have been chosen because they stand as regional examples of how an organization applies M&E and KM tools. In each case, key players briefly describe the organizational objectives, the origins of the initiative, opportunities and obstacles found and challenges and questions that came up during its implementation process. For a better understanding of these cases, prior reading of chapters 3 and 6 is recommended.

## Case 1. The experience of LATN in the implementation of Outcome Mapping

By Jorgelina Loza, M&E unit coordinator, LATN

The Latin American Trade Network (LATN) is a research network founded in 1998 that brings together researchers and academic institutions specialized in Latin American foreign trade policies. One of its main objectives is to exercise influence on policy development and decision-making processes at a national and regional level. <http://www.latn.org.ar>.

### Origins of the M&E initiative

In order to influence public policies, LATN organizes conferences and public events, publishes reports, and introduces new information technologies, promoting dialogue and disseminating research results. In such way LATN seeks to provide advice to decision-makers

about new issues, help them see existing ones from different perspectives, and also include new groups of stakeholders in the process of drafting policy.

The evaluation of this type of initiatives in terms of their actual policy impact capacity is very complex; lately, the network has been making substantial efforts toward this end. Since 2005, LATN has been using Outcome Mapping as the main M&E methodology for its activities and strategies<sup>5</sup>. In 2004, LATN members were invited by IDRC to a training program on the use of this methodology. Later, in 2005, LATN researchers and regional coordinators were invited to a workshop where they learned the principles of this methodology and decided to use it for monitoring and evaluating the work of LATN. The Network has undergone a non-linear process of adaptation and incorporation of Outcome Mapping concepts and tools in its M&E practices. This is what we learned from interviewing its founding members:

At the beginning, when objectives and procedures were still taking form and a common identity was under construction, M&E practices are remembered as a chaotic field with overlapping tasks and methodologies due to the existence of diverse funding sources, and a high concentration of responsibilities on executive positions. There were no professionals with the expertise needed and no specific budget for M&E.

These activities and certain evaluation methodologies introduced later allowed for self-reflection exercises of their own work and its possibilities.

<sup>5</sup> For further information see Loza, J. (2009) "The Outcome Mapping Methodology on the evaluation of the Latin American Trade Network: building self-reflection research practices", Working Paper N°117, LATN. Available at: <http://www.latn.org.ar>

## Opportunities and obstacles

Initially, LATN members interpreted IDRC's proposal in different manners: while some saw it as acknowledgment of their background and as an opportunity for deeper analysis of the network's experience and results, others took it as an increase in their workload. The proposal implied a re-orientation of monitoring by introducing changes in evaluation activities.

Researchers who weren't required by funders to be accountable using Outcome Mapping (OM) were open to introducing some aspects of this methodology to their projects. At that moment it became clear that **one of the main challenges would be making M&E a daily practice** and demonstrating how it would strengthen the group and its activities.

In 2007, as a sign of the progress made, a Monitoring and Evaluation Unit was created under the supervision of researchers experienced in this methodology. This Unit<sup>6</sup> was given the responsibility of designing M&E strategies and analyzing its results. One of the Unit's main strategies is to disseminate the principles of OM among network members and to combine tools for information recollection. **Professionals interested in the subject showed up and this helped increase M&E capabilities** and promote the use of OM.

The main purpose of LATN for introducing this evaluation methodology was to include flexible tools that could reflect the complexities of working in networks, the diversity of involved actors and the difficulty of measuring the outcomes of their work. However,

<sup>6</sup> LATN's organizational structure includes a Coordination Unit (within FLACSO Argentina's IR Area) focused on the Net's administrative and executive activities. It has three regional nodes: Central American, Andean and Brazilian. Decision-making is assigned to an Executive Committee made up of founding members and Node members.

### Outcome mapping and the evaluation of research projects

As in the case of LATN, the general goal of research focused on the development and formulation of public policies is to promote changes to procedures, which involves adopting multi-dimensional approaches, acknowledging new issues, accepting new groups of actors not previously considered in the decision-making processes, and introducing new, useful tools to work. The OM methodology allows incorporating new points of view that have to do with the multi-causality of the change policies seek to produce.

**experience showed that M&E exercises were not considered fundamental by all staff** members and were still mostly carried out by the M&E Unit.

Therefore, a decision was made to redesign the monitoring tools in order to make the task easier for accountable researchers, also looking to incorporate evaluation exercises to the Network's routine procedures, and establishing M&E as part of the undeferrable tasks of its research work.

Nowadays, for recollecting information about its activities, LATN uses diverse tools such as reports, participant observations, opinion surveys and participant interviews. Assistance to workshops, seminars and working breakfasts, as well as its outputs, are also evaluated because they are seen as prime occasions for members and Boundary Partners<sup>7</sup> to meet.

<sup>7</sup> In Outcome Mapping, Boundary Partners are those individuals, groups, and organizations with whom the program interacts directly and relative to whom the program anticipates opportunities for influence.

Research results usually include recommendations or solutions to diverse problems and social phenomena aimed at decision-makers or other researchers who might be interested in the subject. This explains why it is hard to capture the impact that such results could have on project partners, even when an agreement on some of such recommendations is reached with Boundary Partners. These agreements are included among the indicators of progress made and are the basis for building future consensus. (Strategies). By applying Outcome Mapping during M&E stages, LATN researchers can monitor their work against the way their Boundary Partners (decision-makers among them) assess their results.

### Looking to the future: challenges and concerns

Incorporating OM methodologies entailed a very important qualitative change for LATN. Since then, the complex contexts of each project are taken into account and Network researchers have developed a deeper understanding of their work.

The need to invest more time in evaluating activities is one of the major difficulties and a frequent source of conflict found during the development of Outcome Mapping. The current challenge of the Network is to arrive to what has been agreed on and could be a partial solution: training all regional Node members in order to re-assign monitoring tasks, reduce workload and build a stronger shared vision of project development.

Finally, LATN seeks to test new techniques to complement those mentioned above, such as focus groups with people involved in projects, an increase in the dissemination of the Network's outcomes, an extended emailing list especially in the case of government and technical agencies. Based on its record,

it is key that LATN continue to share its experience in forums and other meetings with researchers in order to strengthen their policy influence strategies both inside the organization and with external peers.

## Case 2. The experience of Universidad de la República (Uruguay) and the Ministerio de Desarrollo Social in implementing KM

By Andrés Rius, Andrea Vigorito y Verónica Amarante, Researchers from the Instituto de Economía, Facultad de Ciencias Económicas y de Administración, Universidad de la República.

The IEcon (Economics Institute) is an academic unit of the University of the Republic (Uruguay), which depends on the School of Economics and Administration (FCEA). Its aim is to generate knowledge by means of research and use it in the discussion of public policies. [http:// www.iecon.ccee.edu.uy](http://www.iecon.ccee.edu.uy).

### Origins of the initiative linked to KM

To carry out PANES<sup>8</sup> in Uruguay in 2005, the MIDES (Ministry of Social Development) requested assistance from IEcon. Before the enactment of the law for the creation of this new Ministry, the appointed authorities had asked for technical support from the University of the Republic for the design and implementation of the plan. As from that point, MIDES and

8 National Plan for Social Emergency (*Plan Nacional de Atención a la Emergencia Social*). The purpose of this Plan was to assist the first quintile of population under the poverty line (approx. 8% of the total population). It consisted of a package of measures including income transfers ("Citizen Income"); food transfers for households with children and pregnant women; actions for the reentry of household members into the labor market ("Work for Uruguay") and a program for the recovery of knowledge and training in rights ("Exit Routes").



Udelar entered into many agreements of technical assistance. The cooperation of MIDES and Udelar involved different units of the University: IEcon, the Institute of Statistics, the Institute of Political Science, the Department of Sociology and the Computing and IT Service. The following pages describe the experience of IEcon, under the School of Economics and Administration (FCEA), which cooperated with MIDES during four years.

At the beginning of the program, IEcon participated in the selection of priority geographic areas to be visited by MIDES for the identification of eligible beneficiaries. It also cooperated in the design of the targeting mechanism by creating a score system based on the socio-economic conditions of the households and also prepared the instrument for data collection. When PANES was fully completed, IEcon designed the quantitative methodology for the impact evaluation of PANES and carried out evaluation with support from foreign experts.

When PANES was about to finish, IEcon became part of the commission entrusted with the elaboration of the Equity Plan, working in a redesign proposal of Family Allowances and participating in its implementation. During this stage, the work was performed in a more orderly and institutionalized fashion. An implementation commission was created for the new system of Family Allowances composed

PANES was created and announced as a two-year temporary intervention (2005-2007). In this way, on December 2007 the transfer of income was cancelled and the new “Equity Plan” commenced. This is a more ambitious and permanent plan. It was framed within a reformation process which included the social protection system.

by MIDES, BPS, the Ministry of Economics, the Ministry of Labour and Social Security, and IEcon representatives.

### Opportunities and obstacles in the exchange of knowledge

The cooperation and exchange of knowledge between MIDES and IEcon for the design and implementation of PANES and the Equity Plan can be divided into three stages: it initially comprised the “**problem-solving**” model (Weiss, 1979) for the use of research in policies. The knowledge generated throughout many years by the work of IEcon regarding poverty and inequality had a high pragmatic value towards the urgent needs of technical inputs to solve specific problems identified by MIDES. Afterwards, the cooperation showed features from the “**interactive model**”, where users and producers of knowledge exchanged claims and responses as they made progress within the PANES and began to consider the Equity Plan. Finally, there were also influence stages under the “**enlightenment**” mode (Weiss, 1979) whereby technicians of MIDES and the University began discussing more conceptual aspects of the design of social protection systems in internal meetings and also making “joint demonstrations” in seminars and public conferences.

The factors which affected knowledge management among both institutions are detailed below:

- ***IEcon lacked an explicit model for Knowledge Management*** when it began cooperating with MIDES. Nonetheless, it was able to contribute with knowledge as it had developed an articulated and coherent body of ideas during the period prior to cooperation; thus, it could contribute in an implicit manner. IEcon’s research team, as well

as its Employment and Income team, had appropriate informal mechanisms to generate technically robust knowledge regarding Uruguay's social conditions. This implicit model of Knowledge Management comprised mechanisms for the definition of the agenda, fundraising, training of young researchers and their empowerment to explore the new areas of the problems that were being addressed, and permanent training of expert researchers (through congresses, short courses, etc.). It also included dialogue and cooperation mechanisms with other research centers of the country, the region, and the world, as well as with international agencies. The knowledge produced is materialized in a small community of researchers who share their ideas and trust in certain empirical facts, and is stored in published documents, "grey literature" from consulting work and other documents of limited publication.

- ***IEcon became a reference center on key matters regarding*** the design and implementation of social policy although lacking strategies to connect with processes of policy formulation and implementation. Notwithstanding, the legitimacy granted by its university status, the personal and collective reliability due to political and personal affinity, and their committed attitude, which were rapidly acknowledged by MIDES technicians and political officials allowed IEcon to achieve an adequate position and to timely respond to specific problems regarding the design and implementation of PANES.
- ***The deficiencies of IEcon regarding knowledge transmission*** were made clear by MIDES technicians:

*"The institution had not previously developed capacities for the communication with non-specialists and this was reflected in an inadequate "vocabulary and language", "the selection of the information to be submitted" and –in general—a very high academic style of communication."*

Jorge Campanella, Chief of Program, Family and Childhood Program, Ministry of Social Development.

*"Undergraduate students approached the cooperation with an idealized vision of the capacities and even of the information systems available in the Government and they found major shortages that were not seriously noted by the technicians of the Ministry."*

Carmen Midaglia, Researcher for the Institute of Political Science, University of the Republic.

- ***Trust relationships that led to the previous cooperation*** between IEcon and MIDES made it possible for these institutions to relate to each other and share experiences and knowledge. This coordination also took place because it was built on long-term personal and institutional experiences and not simply developed to immediately respond to a given issue. It is also worth mentioning that the support provided by the University of the Republic granted technical legitimacy to the decisions made which were disputed in different scenarios of society during the initial phase of the plan. It was necessary to convey that decisions would be supported by technical criteria in order to prevent claims of favoritism. But at the same time, UdelaR was an ideological "close" player and, thus, a "legitimate" advisor for left-wing sectors linked to the government.

- **The lack of an organizational structure** or consolidated technical teams in MIDES at the beginning of the relationship fostered the link. As far as there was no bureaucratization of the institution, and the dialogue was open and clear, there was a much receptivity from the highest levels of MIDES to the proposals made by UdelaR. This type of relationship prevented resistance, such as the syndrome called “not invented here”, which affects the reform proposals submitted from outside the organizations which must adopt them. The subsequent composition of technical teams allowed a more fluent communication at technical levels with the researchers of IEcon, but it predictably made contact with the political leadership of MIDES less frequent.
- **The horizontal structure allowed the adoption of common languages** and the generation of trust, not only at the technical level, but also at the personal and institutional levels, which made the impact by IEcon’s technical support possible.
- **The initial urgency and the lack of accumulated experience** in Uruguay regarding the dissemination of social policies based on the collection of beneficiaries’ individual data, made it difficult for IEcon to provide a planned and appropriate response to the time-sensitive requirements. Moreover, the transmission of knowledge and efforts to strengthen the technical aspects of MIDES has not been planned. It was only during the last and recent stages of the cooperation that training activities were planned with the purpose of strengthening the Ministry’s structures.
- **Learning by both parties about new ways of working** was achieved after IEcon accepted that the decisions would not only be based on

technical criteria, developed and promoted by the institution, without considering political urgencies. This tension with policy-makers was relieved over time as the Plan was deployed and there was a better understanding, on both sides, regarding each others’ methods and timing.

- **IEcon had to develop capabilities on impact evaluation** to face the requests of MIDES. To this end, support by researchers from foreign centers who had relevant methodological experience was built-in<sup>9</sup>. Far from the political urgencies and with a more consolidated MIDES, the cooperation was better planned. This enhanced the technical capacity of IEcon’s team and its relationship with the academic world internationally. Regarding this, IEcon showed its knowledge management capacity when it strengthened its own capacities in accordance with the detected evolution of the needs by the other party.

On IEcon’s side, favorable cooperation outcomes include the acknowledgement of a new dimension of its contribution to society. It also heightened its awareness regarding the need to strengthen specific dimensions of its knowledge management practices (for example, language and communication of technical concepts). The experience stimulated IEcon teams to clearly recognize the need for knowledge about policy implementation and evaluation, something that was not originally in the agenda (initially the agenda focused on contributing to the characterization and explanation of poverty and inequality in Uruguay).

<sup>9</sup> Marco Manacorda (researcher at the London School of Economics and Queen Mary College) and Edward Miguel (researcher at the University of California, Berkeley) contributed to this project.

## Looking towards the future: challenges, concerns

Two main lessons can be derived from the exchange experience between the institutions which are related to the improvement of the Knowledge Management strategies applicable by centers that may be similar to IEcon:

1. The need for researchers to learn and develop new ways of communicating with non-specialists,
2. The need to develop capabilities and strengthen institutions inside the government so that it may produce the information needed to identify and evaluate policy options.

Finally, some risks associated with this type of cooperation which relate to the preservation of long-term research agendas should be kept in mind. During the first year of PANES implementation, the efforts made by those who cooperated with MIDES were closely focused, thus abandoning other projects planned to widen the knowledge of other important dimensions of social issues in the country.

### Case 3. The experience in LA-IGTN in monitoring and evaluation practices of policy influence

By Agustina Pérez Rial and Norma Sanchís,  
LA-IGTN researchers

The International Gender and Trade Network (IGTN) was created in 2000 as an instance made up by women who, from a gender perspective, look for fair and equitable integration alternatives against the trade liberalization and financial deregulation which prevail in the negotiation of current economic agreements throughout the world's

regions. This Network conducts research, training and policy influence with the final purpose of exerting influence, by means of different mechanisms, on the development of public policies.  
[http:// www.generoycomercio.org](http://www.generoycomercio.org).

## Origins of the initiative related to M&E

In 2006, the Network conducted a research on "Trade, Gender and Equity in Latin America: Generating knowledge for the political action"<sup>10</sup> in six countries in the Region: Argentina, Brazil, Chile, Colombia, Mexico, and Uruguay. The purpose of this research was to gather information regarding the social and gender impacts of trade liberalization. The effects of female integration into the labor market were especially examined as well as the distribution of child care activities between men and women. In the following paragraphs, we provide a critical analysis of knowledge management conducted by IGTN regarding this research and the related policy influence actions focusing on an analysis of monitoring and evaluation mechanisms<sup>11</sup>.

## Monitoring and evaluating impact: facilitators and obstacles

After its research work, IGTN usually conducts three types of actions: i) transmission of recommendations and policy proposals to key players (governmental, domestic and regional, academic, NGOs); ii) communication and dissemination of information (through a website and its regional bulletin, policy

<sup>10</sup> This Research, financed by IDRC, was based on an approach which mentioned the 'macro-meso-micro' levels of economics and started in 2006.

<sup>11</sup> The following analysis could not have been done without the valuable contribution of IGTN members who shared their experiences in policy influence processes and their thoughts on the way in which the Network conducts monitoring and evaluation practices.

papers and publications); and iii) training (workshops and on-line and on-site seminars).

In the case of research on trade, gender and equity, most of the efforts and resources were focused on the planning and execution of policy influence actions. Even though M&E procedures were recorded by the Network, they were not systematized. There was also documentation of activities linked to policy influence, a record of key players and political decision makers in a unified database, and a list of organizations and instances where policy papers were published, among other efforts tending to view the scope levels of the mentioned actions.

IGTN implemented a series of informal and incidental follow-up mechanisms, rather than systematic procedures. The plan was not accompanied by a consistent M&E process which could critically examine results and identify obstacles and progress made toward the design of future strategies or the re-design of current ones.

#### Some features of M&E in the Network:

- The M&E of policy influence was, so far, based on thoughts, elaboration and circulation of impressions based on real influence actions performed by the different members of the organization within the context of the policy influence plan. However, neither IGTN nor the national levels of the Network have a specific area or individuals entrusted with monitoring and evaluating policy influence actions. Thus, there is an overlap between those who execute policy influence plans and those in charge of the following up on them.

*“...we have not adopted a formal and express monitoring and evaluation mechanism, but such actions of monitoring and evaluation are actually*

Policy influence actions with a relevant degree of success, such as the installation in the REM of a commission in charge of making recommendations about non-remunerated work as well as labor, productive, and trade subjects, the Technical Commission of Gender, Work and Economic Integration , have not been accompanied by the elaboration of indicators which may help to evaluate the true effectiveness and ability to exert influence.

*performed every day. If we are asked, we know which results we have obtained with our policy influence activity but we do not have them formally systematized...”*

Soledad Salvador, IGTN /CIEDUR-Uruguay.

- The considerations about the applied policy influence mechanisms, the redefinition of the tactics, and the drafting of new strategies is not the result of the existence of clear parameters for the evaluation of outcomes, but a consequence of appreciating the success by the participants involved in the planned policy influence processes.
- In addition, IGTN has not drafted case studies to allow the evaluation of the degree in which research-based findings influence on policy nor has it developed, until now, group revisions to critically recover its policy influence work in a way that is systematic and overcomes the exchange of impressions made by its members in a rather informal way by e-mail or during regular Network meetings.
- However, there has been an interrelation of individual actions from some members of the

There is a general consensus regarding the fact that M&E is a function that should be performed by specialists appointed during the planning of the projects, but it is understood that it would be necessary to include a specific budget in order to prevent these actions from becoming the product of an overlapping task by those responsible for the execution of policy influence actions.

Network<sup>12</sup> who, by means of their work and reflections, have stimulated critical thought and a revitalization of the policy influence process. Its purpose was to implicitly evaluate the capabilities of its work and to draft contact directory for future reference.

### Looking towards the future: challenges, concerns

The generation of a shared methodology and a systematization of practices related to M&E is an unsolved matter for the Network and one of its main challenges. Even though IGTN has made a great effort in the policy influence actions related to the findings of the research on “Trade, Gender and Equity in Latin America”, and despite having tried to record its outcomes –at least in part-, M&E processes still lack articulation. IGTN members who were interviewed state that

*“The possibility of a deeper focus on the M&E mechanisms would be a key factor to strengthen more efficient policy influence actions in the long term and to reconsider, from the revision of the practices, the current ways of knowledge management.”*

<sup>12</sup> In the Annex, see Table I: M&E Indicators of the main Policy Influence Plan actions related to the research called “Trade, Gender and Equity in Latin America”.

Incorporating M&E methodologies and practices could be key to observe and reflect on the consequences and indirect results of the actions which do not come up on a first analysis and thus require a deeper examination into means, obstacles, strategies, players and situations. There is a shared consensus in the Network on the need to adopt M&E mechanisms, but they not all agree on the players or instances that could be in charge if they were to be incorporated into a policy influence plan. Nor is there full agreement on the mechanisms and resources required to make it sustainable. These disagreements derive from two main causes:

1. The idea of M&E as an important but secondary practice in a policy influence process, one that diverts resources –human and material- from the actions which are considered essential to obtain results;
2. The absence of a methodology which may allow the conversion of the M&E process into a systematization of findings that prove useful in subsequent planning.

The IGTN is a well-known network in the field of research and training composed by small and flexible organizations that work in modular units per project. The regular needs for institutional development enables its members specialize in specific tasks. The **creation of a team which specializes in M&E and the design of an adequate methodology are the challenges currently facing the Network for it** to generate more efficient strategies in the long term. This is one of IGTN’s unsolved issues. During the past few years, IGTN has increased its capacity to participate and affect domestic and regional instances, and has become a referential voice in subjects related to development, trade, and gender equity. In relation to this, a tool developed by the Network for future implementation is presented



below. The Table shoes a series of indicators that measure the degree of influence of policy papers, workshops and meetings. IGTN is focused on the systematization of these actions’ outcomes and the formalization of its M&E process.

• **Table 17. Monitoring and Evaluation of the main activities related to the research “Trade, Gender and Equity in Latin America”**

Domestic and regional Policy Papers	<p>List of decision makers, organizations and stakeholders who received the domestic and regional <i>policy papers</i>.</p> <p><i>Feedback</i> received about the document. Dissemination of the document in publications of other organizations; notes and presentations where they have been mentioned</p> <p>Number of <i>downloads</i> from the website <a href="http://www.generoycomercio.org">www.generoycomercio.org</a>.</p> <p>Consolidation of the organization as a reference in the subjects as stated in invitations to events organized by governmental and academia, among others.</p> <p>And, mainly, the incorporation of the recommendations submitted in policy papers.</p>
Workshops for discussion of conclusions and proposals	<p>Total number of attendees, and attendees from government agencies. Visitors' profile: position within the organization, experience in the subject, decision-making authority and influence on public policies, etc. Expressions of intention to participate.</p> <p>Advertisement of the seminar in publications (<i>online</i> and <i>offline</i>) not related to the Network.</p>
Domestic meetings for the publication of the research outcomes and political recommendations.	<p>Number of attendees from, civil society and number of officials. Informal feedback received during the presentations. Incorporation of the recommendations in speeches, documents and presentations of attendees.</p>

Source: Own elaboration.

## Case 4. Communication for influencing: an M&E case developed in Latin America by APC

By Roxana Goldstein, International consultant in public policies for the information and knowledge society

### Description of the organization

The Association for Progressive Communications (APC) is a network-structured organization established in 1990 with 52 members in 37 countries most of which are civil society organizations dedicated to exert influence on public policies related to information and communications technologies (ICTs). Its mission is to work towards a world where every individual may have free and open access to ICTs, and especially to the Internet, to use them for a better quality of life and a more equitable world.  
<http://www.apc.org>

### Origins of the initiative linked to M&E

For its activities and projects, APC adopts an integral vision linking research, communications, network, and lobbying. It also strategically incorporates the most convenient technologies and methodologies for the generation of operating and organizational capacities. This is influenced by the different contexts, backgrounds and conditions of each organization in the network.

Although the network does not have an established monitoring and evaluation strategy, its actions show an attempt to progress in this area. As an example of this, in Project CILAC (Communication for the influence – Connecting policy influence, dissemination and research by means of the creation of networks in the Andean Sub-region, Latin

America<sup>13</sup>) **Outcome Mapping** (OM) was applied. The idea of applying this methodology came up when, between 2004 and 2008, APC Global used the logical frame methodology to articulate its strategic action plan and realized it was “difficult to use for the evaluation of the organization’s efficiency, partly because it was not simple to predetermine relevant indicators.” (APC, 2009). It then decided to try new technologies for the formulation of its Strategic Plan 2009-2012, thus implementing the methodologies of Outcome Mapping (OM) and Most Significant Change (MSC).

The positive assessment of both methodologies led the Coordination of APC in LAC of PIC-AL Program to decide on the implementation of the Outcome Mapping for the formulation and evaluation of the CILAC project. The developed project was supported by IDRC and its aim was to conduct research to identify obstacles for universal and feasible access to ICTs) in five countries of the Andean sub-region. It also sought to develop a network for policy influence to disseminate research findings and to take policy influence to sub-regional levels through ICT for Development (TIC4D) and access to infrastructure.

### Solutions and obstacles

An external consultancy was hired for the implementation of the Outcome Mapping in the CILAC project. This consultancy had a fluent communication with the coordinators of the project and of APC, by e-mail, by phone, and a meeting held at the start of the project.

<sup>13</sup> See <http://www.apc.org/es/projects/comunicacion-para-la-influencia-en-america-latina->



To implement a systematic follow up during the project, a logbook system was applied to record all planned events, and registration forms were created for such purposes –which were later used by the network coordinators– allowing the record of information. The purpose was to collect data related to a group of seven sub-objectives linked to the two main objectives.

To determine follow up priorities, a survey was conducted with the members of the Project's administrative and technical teams. The design of the cards was a key component for the management of information and knowledge, including:

- Considerations to give priority to certain matters
- A premise from which the follow up action is triggered
- A space for notes about the priority elements considering:
  - Innovative or unexpected aspects
  - Practices of the organization
  - Changes identified in female and male members of Red AndinaTIC<sup>14</sup>
  - Strategies
  - Achievement of the objective based on outcomes
  - Reflections on lessons and evaluation.

OM is a methodology that has its own language. This required an additional effort from the administrative and technical staff to properly learn and incorporate its methodological guidelines. Additional efforts were also required for its understanding, proper implementation and follow up in every stage of the project. It may generate an additional workload,

The CILAC Project constitutes a paradigmatic case of implementation of the integral research vision – communication – network – lobbying, implemented in the Andean Sub-Region. The strategy proposed in this program is the result of the accumulation of knowledge and prior experiences of APC in the region and in other regions. This project sets a new mark in the experimentation of new ways of knowledge production which allow linking rigorous and reliable research with intense dissemination among non-experts.

which must be taken into account during the planning of the project. The initial on-site workshop was essential to wholly understand the dimension of the project and give the appropriate dynamics to the whole process.

The report of the project by Pacheco Arrieta (2009, p.12) states that:

*“OM permits to maintain the emphasis in the changes of behavior that are the ones which consolidate development. This methodology allows maintaining clear the way in which the vision of a project focuses on the general goals and strategies, and enables the detection of progress signs that benefit the changes in behavior during the process. Continuity and participation are essential to consolidate the dynamics throughout all the cycle of the project.”*

The report adds that the experience of project CILAC also allowed for an analysis of how concepts inherent to the OM methodology may be put into practice in a specific case. It concludes that OM is an appropriate methodology for projects which intend to achieve policy influence and energize multi-player networks towards common goals.

<sup>14</sup> This network is the result of the component of Project CILAC which aims at creating a network for policy influence. Project CILAC had two components: (i) the creation of the network –which is AndinaTIC–, and (ii) the development of policy influence research: Red AndinaTIC <http://www.apc.org/es/node/8404>

## Looking towards the future: challenges and concerns

OM implementation is challenging and requires the revision of practices and behaviors well rooted in organizations. Taking this into consideration, it may be advisable to:

1. Increase the development of capabilities for their application by the decision-makers and players involved in actions and projects focused on the influence of civil society on policies in the Latin American and Caribbean regions.
2. Begin working with training strategies on methodologies such as Outcome Monitoring, which are not well known and have not been applied much throughout the Region.

For a better development of this type of strategies, in the case of APC in LAC, particularly in the Program PIC-AL as a network, the challenges currently singled out are the lack of time, qualified staff, and financial resources to continue with the processes already initiated. These resources are also lacking to use the methodology in the second phases of programs, projects and actions which have had positive outcomes in their first phases.

However, APC has a strong point: it's essential orientation to work with information and knowledge as part of the daily activities. In addition, as it is an on-line organization, it is necessary to know and properly handle the mentioned resources and digital tools. In general, the methodologies to manage the information and knowledge are for APC an essential capital and key inputs for an effective monitoring and evaluation process of its interventions.



# Annexes

.....

## Annex 1. Example of a SWOT matrix (phase 1 – Diagnosis)

Strengths	Opportunities
<ul style="list-style-type: none"><li>• Useful and valuable evidence to influence public policy</li><li>• Necessary human resources with capacity to carry out the M&amp;E process</li><li>• Good accountability practices</li></ul>	<ul style="list-style-type: none"><li>• Share experience and learn from other organizations</li><li>• Two important donors interested in the improvement of M&amp;E practices in the organization willing to provide support in related future projects</li><li>• Increase public recognition and reputation</li><li>• Many funders offer training in M&amp;E to the organizations they support</li><li>• Growing demand for quality-evidence from stakeholders (decision-makers, media, companies, other organizations, etc.)</li></ul>

Weaknesses	Threats
<ul style="list-style-type: none"><li>• Organization members are suspicious of M&amp;E purposes</li><li>• Lack of formal internal processes related to M&amp;E within the organization</li><li>• Difficult decision of allocating resources to design and implement an M&amp;E process instead of prioritizing other needs</li></ul>	<ul style="list-style-type: none"><li>• Difficult access to external stakeholders and lack of cooperation from some of them</li><li>• Information on errors or minor impact could be circulated by third parties</li></ul>

## Annex 2. Template of organizational M&E capacities diagnosis

Guiding questions to assess the current state of our organization:

- 1. Why do we want to monitor and evaluate the impact of our projects on public policy?  
.....
- 2. Are we aware of the experience of other organizations that have already implemented these processes?  
.....
- 3. Have we established specific policy influence objectives in our organizational plan?  
.....
- 4. Do we include specific policy influence objectives in particular projects? Why?  
.....
- 5. Is M&E of policy influence promoted or stimulated by top management? Why? How?  
.....
- 6. Do we use any particular methodology to draft and implement projects? What methodology? Why?  
.....
- 7. Do we define and build M&E indicators when projects are being developed?  
.....
- 8. To what extent do we consider the outcome and impact of completed projects when embarking on new projects or to increase their policy influence?  
.....
- 9. Do we have procedures or systems to supply information and make it available (information infrastructure)?  
.....
- 10. When we monitor and evaluate the policy impact achieved, do we make results public? How? Why?  
.....

### Annex 3. Summary card of the M&E plan

Summary Card of the Monitoring & Evaluation Plan	
<b>Diagnosis Summary</b>	It is the starting point for decisions included in the plan. In a concise manner, we should mention conclusions from the SWOT analysis and the interviews conducted to assess current monitoring and evaluation capabilities within our organization.
<b>Overall strategy</b>	<ul style="list-style-type: none"> <li>• Include set objectives</li> <li>• Determine on what level/s we will work (by projects, programs, or at an institutional level)</li> <li>• Establish which components will be evaluated (outcomes, activities and/or impact)</li> </ul>
<b>Indicators</b>	Based on the defined strategy, identify what indicators will be used: <ul style="list-style-type: none"> <li>• Outcomes (for example: number of inquiries about its content)</li> <li>• Activities (for example: press coverage)</li> <li>• Impact (for example: recommendations that were included in a specific public program)</li> </ul>
<b>Tools</b>	We should choose tools according to the kind of information we wish to collect and considering our organization's capacity to implement them.
<b>Characteristics of preliminary monitoring reports</b>	They should take into account the identified audience and be submitted on schedule. Reports should describe: <ul style="list-style-type: none"> <li>• The context of the activity and any changes in it</li> <li>• Actors involved in the activity, their actions and changes as the initiative make progress</li> </ul>
<b>Characteristics of the final evaluation report</b>	The final evaluation report will draw information from monitoring report/s. In a brief and concise fashion, the report should include lessons learned, findings, conclusions and recommendations resulting from the initiative. It is important to distribute the report among internal and external actors in order to let them contribute with and learn from the initiative.
<b>Working schedule</b>	Along with the monitoring and evaluation tasks, it will include timelines for preliminary monitoring reports and suggestions for changing the course of action.
<b>People in charge</b>	We may choose between organization members and/or external evaluators, and consider traditional or participatory evaluations. This decision will be partly based on the conclusions reached in the diagnosis of our organization's M&E capabilities.
<b>Budget</b>	Includes expenses and other investments necessary to carry out the actions required by the M&E strategy: human resources, direct expenses such as travel, publications, hardware (PCs and printers), and services (phone, Internet access).
<b>Audiences</b>	By using the proposed tools we can identify the audiences that we want to reach. Once we have mapped them, we should find out about their interest in our initiative in order to include them or ask for their advice. Then determine the people interested in receiving a summary of the evaluation (accountability, socializing lessons learned, etc.)

# Annex 4. Example of an output x impacts matrix

Outputs	Impacts				
		Strengthen local research capacity on a topic	Increase awareness about topic among policymakers and in media	Build relationships between research partners and civil society organizations	Influence change towards more pro-poor policy
	Project launch		XXX		X
	Website	X	X		X
	One-to-one meetings with policymakers		XXX		XX
	Public meeting series	X	X	XXX	X
	Network building	XX	X	XXX	X
	Research reports	XXX		X	
	Policy briefs	XX	XXX	X	XX

Source: Hovland (2007).

# Example of an outputs x stakeholder matrix

Outputs	Stakeholders					
		Research partners	National policymakers	Bilateral and multilateral donors	Civil society organizations	Media
	Project launch	X	XX	X	XX	XXX
	Website	XX	X	XX	XX	XX
	One-to-one meetings with policymakers	X	XXX			
	Public meeting series	XX	X	X	XX	X
	Network building	XXX		X	XXX	
	Research reports	XX		X	X	
	Policy briefs	X	XXX	XX	X	XX

Source: Hovland (2007).

The matrix shows Outputs vs. Stakeholders (the groups of actors that the project wishes to engage with). For each output, crosses are distributed across the output row depending on where the output's desired impact lies. The matrix can then be compared to the project's actual distribution of effort across different groups of actors, in order to assess whether any resources need to be reallocated<sup>15</sup>.

<sup>15</sup> Hovland, Ingie: *Making a difference: M&E of policy research*, Overseas Development Institute, Londres, 2007:15.

Anexo 5. Template to systematize an experience in policy influence

Organization:	Funder:
Project/Activity:	
Program:	
Participants and positions:	
Initial policy influence objective/s:	
Describe the level of policy influence achieved:	
Used strategies:	
Factors that facilitated influence. Explain why.	
Factors that obstructed influence. Explain why.	
Lessons to share:	



## Annex 6. Media report, CIPPEC Foundation

We include some tips for producing media reports:

- Keep the period of time you are analysing unambiguous. For example: “Media pieces during 2010”, “last quarter”, etc.
- Mention which media sources are included in the report and the geographic scope of each: newspapers, magazines, web sites, radios, television channels that could be international, national, provincial or local.
- Analyze the publications based on the categories, criteria and levels that show the value of each appearance. We recommend five categories used by CIPPEC:
  - **Author:** includes media pieces written by the PRI members.
  - **Opinion:** includes media pieces where PRI members were consulted and they give their position about a topic related with their program, but it is not directly connected to a specific project.
  - **Source:** includes media pieces where PRI members are a source of information.
  - **Management/projects:** includes media pieces in which the organization’s work or a specific project is relevant.
  - **Mention:** includes media pieces where the PRI is mentioned but it is difficult for the reader to discern what the organization is about.

In addition, it is possible to analyze other levels:

- **Journalist’s genre.** Not all the articles in which a PRI appearances are part of this genre. They could be short articles, editorials, opinion columns (written by the PRI members and by journalists

that mention the organization), interviews, analysis, miscellaneous like requests, readers’ letters, etc.

- **Organization’s name:** this refers to how the PRI is mentioned in the media piece: as an NGO (non governmental organization), a consulting body, a university, a NPO (non profit organization), a third sector organization, or the like.
- **Visibility inside the published piece:** it refers to whether the PRI is mentioned alone or together with other PRIs or organizations.
- **PRI’s member quotations:** it is the number of times a PRI member’s statement is quoted.
- **Media’s valuation of the organization:** media pieces may be defined as “very good”, “good”, “regular”, and “bad”. To classify the pieces, you may consider how clearly the main message, PRI’s objectives or specific programs are conveyed.

Once all relevant media pieces have been examined, sorted and quantified according to the criteria mentioned above, it is possible to cross the different levels to:

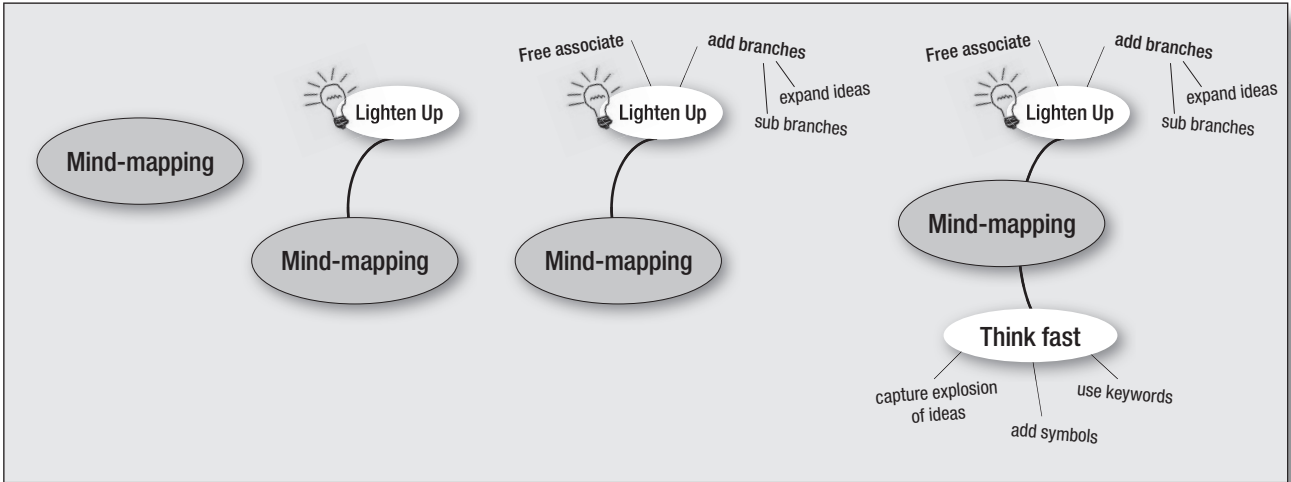
- Come up with conclusions
- Develop a ranking of PRI members, programs or topics
- Analyse the quantity of “very good”, “good”, “regular”, and “bad” articles that the organization had during the period and revise its media communication strategy accordingly.

Annex 7. Blame behaviors vs. Gain behaviors

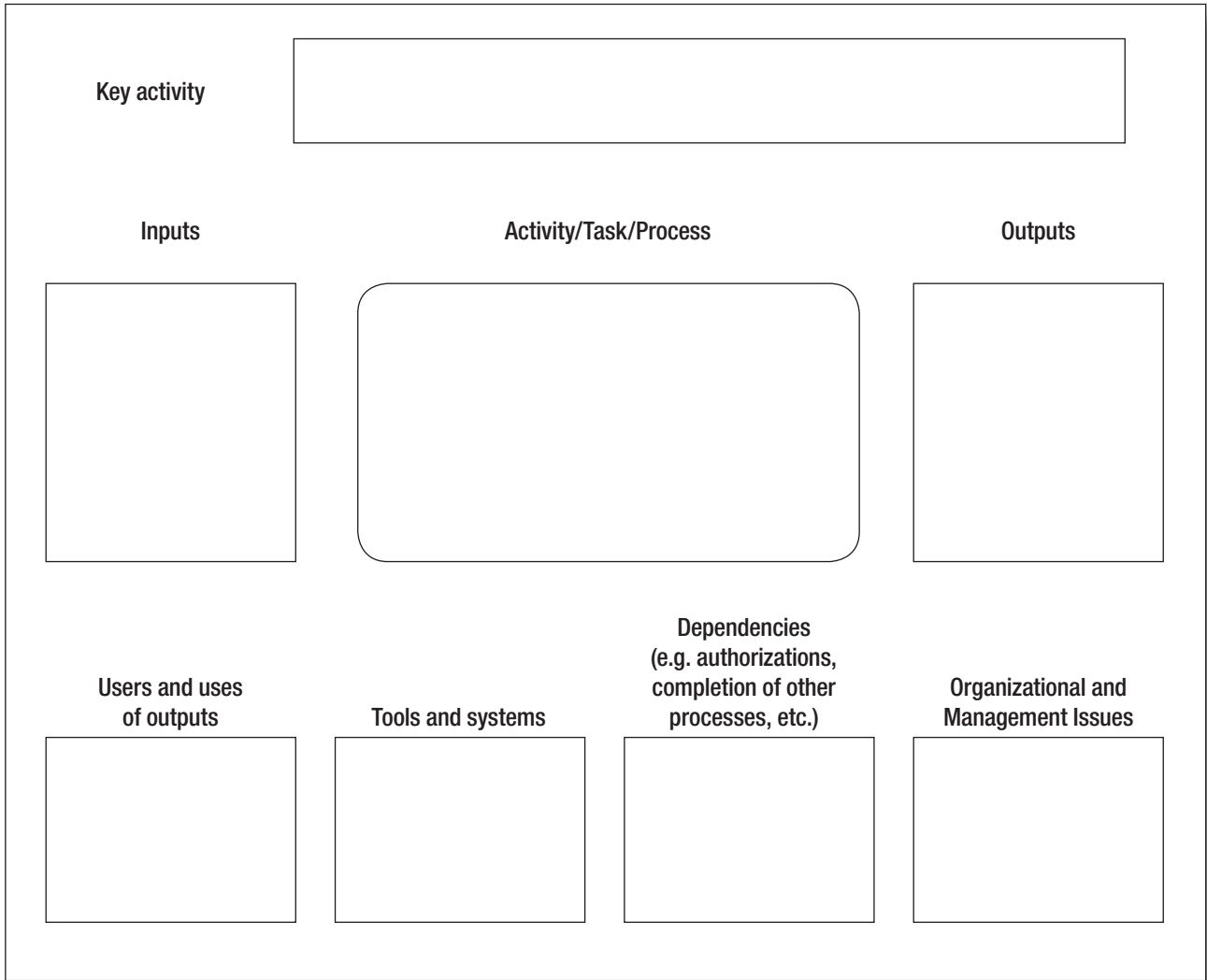
Blame behaviors	Gain behaviors
Judging: 'You were wrong'	Exploring: 'What happened?'
Showing emotion: 'I'm furious at you'	Remaining calm: 'Try not to worry about it'
Reacting to what you think happened: 'You should have...'	Finding out exactly what happened: 'Let's take this one step at a time'
Blaming people for getting it wrong: 'You should never have let this happen'	Focusing on the process that allowed the mistake: 'What could have been done differently?'
Finding fault: 'You only have yourself to blame'	Providing support: 'This must be difficult for you but don't forget this has happened to us all'
Focusing on effects: 'This is going to cause enormous problems for me'	Focusing on causes: 'What I want to focus on is all the things that enabled this to happen to us all'
Assuming the person should feel guilty/be contrite: 'You really only have yourself to blame'	Assuming the person wants to learn: 'What are the main lessons for us?'
Seeing mistakes as something that must be avoided: 'This must never happen again'	Seeing mistakes as part of a learning process: 'We can learn a lot from this'

Annex 8. Mind maps

Based on the process described on page 75, this is how a mental map should look like:



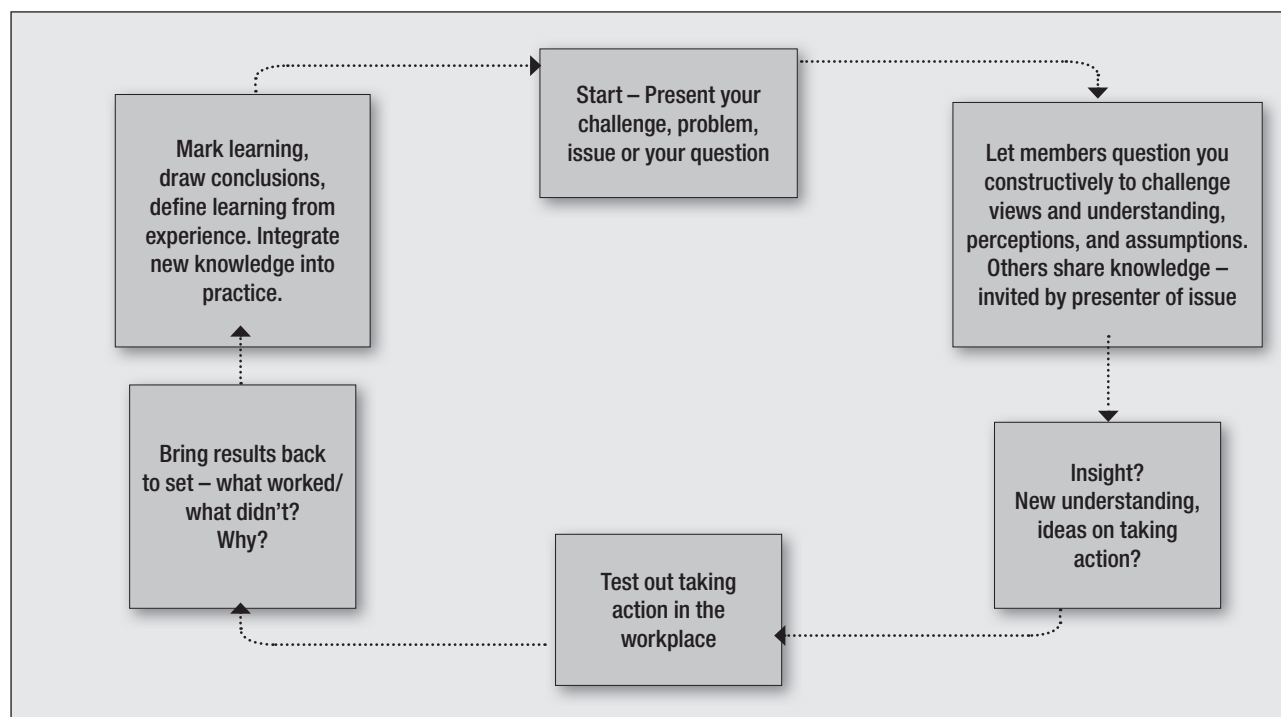
Annex 9. Activity-based knowledge maps



## Annex 10. Knowledge harvesting. Guiding questions:

- What is the first thing you need to do?
- How did you know that?
- How do you know when to do it?
- What is done next? Why?
- What happens generally?
- What happens if something else is done?
- Who else was involved?
- What are the most common mistakes?
- What is the most important thing to keep in mind?
- What were the largest obstacles?
- What supporting material (documents, processes, handbooks, evidence, etc.) is relevant?
- How could this process become more clear and understandable?

## Annex 11. Action learning





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**If you wish to quote this book:** Weyrauch, Vanesa; D’Agostino, Julia; Richards, Clara: Learners, practitioners and teachers: Handbook on monitoring, evaluating and managing knowledge for policy influence, CIPPEC, Buenos Aires, 2010.

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The evidence based policy influence is a topic of growing interest to researchers, social organizations, experts, government officials, policy research institutes and universities. However, they all admit that the path from the production of a piece or body of research until a public policy is sinuous, fuzzy, forked. In this context, it is not surprising that the practice of monitoring and evaluation (M&E) of the policy influence in Latin America is limited. And, indeed, a limited development of knowledge management (KM) on the experiences of advocacy organizations in the region is also observed.

Incorporate monitoring, evaluating, and managing of knowledge between the daily practices of policy research institutes is well worth it. On the one hand, the use of these tools can be a smart strategy to enhance the impact of their research in public policy. On the other hand, can help them strengthen their reputation and visibility attracting more and better support by donors. In turn, the design of a system of M&E and the beginning of a KM culture, if approached with a genuine interest in learning, can become a valuable knowledge that bridges motivation for members of the organization. In short, these practices can improve targeting activities, better decide where and how to invest resources, and formulate more realistic and accurate strategic plans.

With the publication of this handbook CIPPEC aims to support organizations that can monitor and evaluate their interventions and to develop systematic strategies for knowledge management. It includes stories of previous experiences in these fields in the region of Latin America, reflections on the most common challenges and opportunities and concrete working tools. These contributions aim to pave the way for the influence of public policy research in the region.



CIPPEC (Center for the Implementation of Public Policies Promoting Equity and Growth) is an independent, non-partisan and non-profit organization that works to create a just, democratic and efficient State that improves the quality of life for all Argentine citizens. Thus, it concentrates its efforts in analyzing and promoting public policies that foster equity and growth in Argentina. Its challenge is to turn into concrete actions the best ideas that emerge from the areas of **Social Development**, **Economic Development**, **Strengthening of the Institutions**, and **Public Management** through the programs of Education, Health, Social Protection, Fiscal Policy, Global Integration, Justice, Transparency, Local Development, and Politics and Public Management.

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