A PRACTICAL GUIDE TO MEASURING ADVOCACY AND POLICY

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INTRODUCTION

PURPOSE OF THIS GUIDE

The Annie E. Casey Foundation is strongly committed to determining meaningful ways to define and document the impact of its Making Connections and Kids Count initiatives in terms of public policy and social change, and the foundation is taking intentional steps to identify and develop appropriate evaluation processes. This guide was commissioned by the Annie E. Casey Foundation in order to contribute practical guidance to those interested in measuring the impact of their advocacy and policy work. As more foundations and non-profits have engaged in advocacy and policy work to address public problems and affect social change, there is a growing desire to gauge and measure the impact of investments in this area. How to define and measure the effectiveness of advocacy and policy work is an emerging question of interest within the philanthropic and non-profit sectors. Answering that question has proven difficult as there are relatively few instructive resources to help those that wish to measure progress in this area. The purpose of this guide is to add to this emergent field by offering concrete approaches to designing appropriate evaluations. Three major questions are addressed:

1. What should be measured?
2. What are appropriate evaluation directions for advocacy and policy work?
3. What specific tools and data collection methods are applicable to this form of evaluation?

The guide identifies and describes specific outcomes – that is, the types of changes for individuals or within systems – likely to occur as a result of advocacy and policy change efforts; presents considerations intended to advance thinking about directions and standards for evaluation practice in this area; and provides examples of measurement tools that are applicable to advocacy and policy work.

The general field of evaluation offers an extensive literature that provides both theoretical and practical examples of how social scientific inquiry can be applied to outcome measurement for an array of programs, interventions and initiatives. The evaluation literature also documents a range of outcomes reflecting commonly accepted types of changes that are likely to occur for individuals, families, or communities as a result of implementing various programs and initiatives. The literature provides numerous examples of how certain kinds of outcomes – such as changes in knowledge, attitudes, skills, behaviors or conditions – match with certain kinds of strategies. With advocacy and policy work, however, there are no such commonly agreed upon outcome categories. As such, the question "what to measure?" has challenged those interested in evaluating advocacy and policy change efforts.

Additionally, there is very little that has been written or discussed regarding how traditional evaluation approaches specifically apply to the measurement of advocacy and policy work. The field is relatively new, and, as stated in recent report by Blueprint Research and Design, there are no standards of practice, acknowledged best practices, nor commonly used methods or tools.[1] While there are a few examples of how traditional evaluation methods have been applied to the measurement of advocacy and policy work, the evaluation literature offers little to guide foundations and non-profits. The Blueprint report, commissioned by the California Endowment, summarizes the state of the field: "After conducting 20 interviews with evaluation experts and reviewing a broad sampling of relevant reports…there is no particular methodology, set of metrics or tools to measure efficacy of advocacy grant making in widespread use."[2]

The result of this void is a limited fund of knowledge about what constitutes effective advocacy and policy work, as well as what are meaningful and appropriate expectations for investments in advocacy and policy work. For grant makers, this has led to uncertainty about where and how they might make effective investments in advocacy and policy work, what kinds of outcomes are possible or realistic, or what kinds of strategic adjustments in programmatic approaches or funding allocations might be needed. Echoing the desire of other foundations that want to understand whether, how and why meaningful changes occur as a result of investments and activities undertaken in the public policy arena, the President and CEO of the California Endowment, Dr. Robert K. Ross, explained why the Endowment recently commissioned the Blueprint report, noting the foundation sought guidance in "developing an understanding about the issues in policy change evaluation…and an approach to strengthening the foundation's public policy change evaluation practice."[3]

Part of the desire to strengthen evaluation practice regarding advocacy and policy change work comes from foundation trustees, donors and investors who are demanding greater accountability from those funded to engage in policy change work. Many foundations now routinely request that grantees document what progress has been made or what results were achieved in order to show that investments were sound, or that returns were acceptable. And, while more funders stress the importance of evaluation, many advocacy organizations also want to know whether there has been strategic progress in their work, and what constitutes a "win" or significant incremental accomplishment on the way to a longer-term policy or social change goal. This means having some process in place by which to assess progress in order to ensure that, as one foundation executive stated "you're not missing important pieces of the puzzle and you're moving towards the goal."[4]

This guide is meant to advance the emerging conversation about how to measure advocacy and policy change work by providing a consistent language to codify and frame outcomes associated with advocacy and policy work, as well as potential research directions and tools.

[1] Guthrie, K., Louie, J., David, T. & Crystal-Foster, C. (2005). The Challenge of Assessing Advocacy: Strategies for a Prospective Approach to Evaluating Policy Change and Advocacy. Prepared for The California Endowment. Woodland Hills, California: The California Endowment.
[2] Ibid.
[3] Ibid.
[4] Krumboltz A. Executive Director, The Brainerd Foundation. (Personal communication, January 2005.)

INTENDED AUDIENCES

The primary audience for this guide is foundation executives, grant managers, officers or other people or groups who make grants to and/or partner with advocacy organizations.

Others who may directly benefit from this guide include:

- Non-profit organizations engaged in advocacy and policy work
- Community coalitions engaged in advocacy and policy work
- Evaluators who are involved with measurement of advocacy and policy work

In short, this guide will be useful for all those parties who desire to:

- Gauge the progress and effectiveness of their advocacy and policy work
- Learn what is working and what needs to change regarding investments and strategies
- Build collective knowledge about how to most effectively create effective pathways for successful advocacy and policy efforts
- Establish accountability to both incremental and long-term changes in public policy as well as social and environmental conditions
- Advance the field of evaluation for advocacy and policy work

ROADMAP TO THIS MANUAL

The guide is presented in three sections:

- Section 1 is an overview of the context for measurement of advocacy and policy work, including the inherent evaluation challenges.

- Section 2 presents a menu of outcome categories which describe changes that may result from advocacy and policy work, and discusses evaluation design issues that relate to outcome selection. This section also outlines several factors that influence the selection of an appropriate evaluation designs.

- Section 3 offers specific data collection approaches and examples of measurement tools which correspond to the menu of outcome categories presented in Section 2.

Each section of this manual contains instructive and practical information for those involved in many different aspects of advocacy and policy change work. However, depending on one's perspective and particular needs or interests, there are certain sections of this manual that some may find most helpful.

If you are trying to determine an overall strategy to evaluate advocacy and policy change efforts, Sections 1 and 2 may help you to frame your thinking and approach.

If you represent an advocacy organization and are trying to determine what you might measure to demonstrate the results of your work, the outcome categories and examples presented in Section 2 may help you to gain insights.

If you represent an organization trying to plan how you might implement evaluation of your advocacy and policy change outcomes, you may find the evaluation design examples in Section 2 and the tool examples in Section 3 most helpful.

SECTION 1

Context of Measuring Advocacy
and Policy Change Efforts

MEASURING ADVOCACY AND POLICY CHANGE EFFORTS: A NEW EVALUATION PERSPECTIVE

Increasingly during the past decade, there have been shifts in strategic thinking within the philanthropic and non-profit sectors. Many foundations and non-profits recognize that "traditional" grant making practices - i.e. funding discrete programs and direct services - are not likely to ever be enough to fully address the complexity and scale of social challenges such as environmental degradation, disproportionate school achievement, child and family welfare, and poverty. While support for programs and services that provide immediate assistance and real benefits to those they serve is crucial, especially in the face of significant resource cutbacks among public programs and services, "just as crucial, and perhaps more so, is funding examinations of the underlying causes of human needs and the public and private strategies to meet them."[5]

To keep with their missions to alleviate public problems, many philanthropies have sought to address social and environmental concerns not only by funding direct services but by looking farther upstream to the conditions and policies that underlie these concerns. And, ongoing program evaluation, including measurement of specific program outcomes, has played a significant role in guiding funders and grantees to look upstream. Perhaps reflection on program evaluation data has shed light on the limited reach of program and service efforts. Or, consideration of program efforts within a larger theory of change has illuminated the need for multi-faceted efforts that address broader outcomes encompassing changes for both individuals and families served as well as changes at a system or policy level.

ADVOCACY AND POLICY WORK: EVALUATION CHALLENGES

Because evaluation has proved to be a useful tool for many grant makers, foundations want to continue to implement evaluation as they become involved in advocacy and policy change work. But organizations engaged in advocacy and public policy change efforts face many challenges when attempting to measure the effectiveness of their efforts. Some of these challenges are described below.

[5] Ridings, D.S., (1997). Feature: *Looking Upstream*. Foundation News & Commentary, 38, 3. Washington, D.C.: Retrieved September 28, 2004, from http://www.foundationnews.org/CME/article.cfm?ID=2452

LACK OF PRACTICAL GUIDANCE

There is little that has been formally written with regard to approaches and methods and the field of evaluation in the area of advocacy and policy change is nascent. To date, when evaluation of advocacy and policy work has even occurred at all, efforts can be best characterized as attempts, or even missteps. Some funders have focused on relatively narrow "output" measures - such as the number of newspaper articles printed or PSAs aired – that describe the reach of a particular campaign or public awareness initiative. Other funders have engaged in public policy work with overly-ambitious expectations such as striving for the passage of new legislation in the one- to three-year time frame typical of most grant awards. Still, other funders have held to the gold-standards of evaluation science as best practices and used experimental designs, including pre and post test surveys from a randomly sampled population group which are frequently resource intensive. Given the limited availability of examples and practical guidance, determining appropriate evaluation methods and practices has been difficult for foundations and non-profits.

DIFFERING PERSPECTIVES ON THE ROLE OF EVALUATION

Besides limited guidance regarding how best to measure advocacy and policy work, there are other factors that make evaluation in this area a difficult prospect. One of these factors is the belief among some advocacy organizations that their work cannot be measured and that any attempt to do so diminishes the power of their efforts. This cynical but widely held opinion is expressed in the following quote: *"Progressive funders constantly ask advocates and organizations to prove that our work results in policy change. They'd like us to draw a straight line between our activities and the change we seek, year after year, and they'd like us to walk down that line quickly. The fact that social movements that feed truly large scale policy change don't work that way wouldn't be so unfortunate if progressive elites weren't so attached to that idea, forcing the flow of resources into very narrow channels."*[6]

The measurement of advocacy and policy work exposes the differing views of many funders and those who work "on the front line" in advocacy organizations. The perspective of many foundation officers, executives and boards is often shaped by a desire for clear, documented results which provide evidence that the foundation is engaging in responsible and meaningful stewardship. And frequently foundations are focused on the achievement of a specific policy change or system improvement goal. Evaluation plays a role by ensuring that expected goals and outcomes are identified, and providing a process by which grantees can be held accountable. Many foundations also use evaluation processes as a way to determine what adjustments and improvements might be necessary in either their own grant making practices or in grantees' activities in order to achieve the desired goals.

Some advocacy organizations, on the other hand, see their work as part of broad-scale social change efforts. While advocacy organizations may want to know that they are making progress, evaluation may be seen as limiting because this process involves committing to certain static outcomes that don't

[6] Sen, R. (2006). Leading 'La Marcha'. ThomasPaine.com. April 10. Retrieved April 11, 2006, from http://www.tompaine.com/articles/2006/04/10/leading_la_marcha.php

hold their relevancy in the dynamic, ever-changing course towards broad social change. Or, because focusing on social change is what propels advocacy organizations, it may feel limiting to have work framed in terms of narrower, shorter-term outcomes. In determining best approaches to evaluation of advocacy and policy work, these differing viewpoints regarding the nature of advocacy and policy change work, and the purpose and role of evaluation need to be more fully explored.

METHODOLOGICAL CHALLENGES

The measurement of advocacy and policy work presents certain methodological challenges as well. The factors which make evaluation of advocacy and policy work complex and challenging are described in the 2005 Blueprint report. These include the role of external forces or conditions, attribution, a long time frame needed for changes to occur, shifting strategies and milestones, and grantee capacity and engagement.[7]

The combination of these factors means that the traditional social scientific methods which have served as the primary paradigm for program evaluations are often poor fits for advocacy and policy change efforts. The Alliance For Justice has pointed out that policy change is typically stimulated by numerous concurrent factors and many actors, and because change occurs over a long time horizon, "it can be difficult to show 'cause and effect between one specific organization's advocacy activities and policy change. "[8] Therefore, standard social science methods that identify an independent variable and a few dependent variables likely to affect change aren't always well-suited for measurement of advocacy and policy work.

IDENTIFICATION OF OUTCOMES

Another issue is the identification of realistic, meaningful outcomes. Typically, many foundations have administered their grant making in 1 to 3 year time frames, but, as noted above, policy and broader social change usually occurs in a much longer term. It is important to determine and find agreement about whether a foundation is working on a specific short-term change that is potentially achievable in a 1 to 3 year period, or whether a foundation is involved in a long-term process of policy or social change. To really know whether a long-term change in policy, population, social or environmental conditions occurred, philanthropic and non-profit organizations need to remain committed (in terms of both resources and on-the-ground work) for a long time.

A complicating factor is the dynamic nature of advocacy and policy work; contexts and key players are always changing. No matter how clearly an organization articulates a pathway to a desired long-term policy change goal, it would be virtually impossible to name, predict or explain all the variables that might be important within that change process.[9] What an organization thought was a realistic expectation for change last month may become totally unrealistic given new circumstances this month. A second consideration in the identification of outcomes concerns the typical way that many organizations

[7] Guthrie, K. et al., op. cit.
[8] Alliance for Justice. (2005). Build Your Advocacy Grantmaking: Advocacy Evaluation Tool. Washington, D.C.: Alliance for Justice
[9] Guthrie, K., op. cit.

have conceptualized program outcomes. Outcomes are typically expressed as "forward progress" – e.g. increases in skills, improved conditions. However, outcomes for advocacy and policy work might be "defensive" in nature – e.g. holding the line on bedrock human rights or environmental protection legislation. Consider the insight offered by Washington State Representative Ed Murray regarding legislation passed during the state's 2006 legislative session that banned discrimination based on sexual orientation: "As with many rights issues, [maintaining this policy] is going to require consistent vigilance…almost a constant campaign."[10]

One of the key challenges in evaluation of advocacy and policy work is identification and definition of short- and intermediate-term outcomes – that is, what changes might occur on the way to longer-term change. These changes could be described either as performance measures for a grantee, or as incremental achievements or conditions that indicate progress towards a long term policy change goal. In determining shorter-term outcomes, it is important for both funders and grantees to be sure that the grantee's mission, capacity and existing commitments align with funder expectations. Foundation-grantee relationships can be strained if a funder's expectations about what the grantee can accomplish or produce are unrealistic, for example expecting population-level changes in children's health to result from a one-year grant.

Differences Among Foundations

The characteristics of foundations have also made it challenging to determine and provide guidance about evaluation approaches for advocacy and policy work. As private, independent organizations that are frequently shaped by individual or a family's values, foundations are tremendously diverse in their philosophies and practices, including their grant making. Additionally, different foundations are involved in different stages of public policy and social change efforts as well as different venues and different jurisdictions. [11] Further, foundations may have different purposes for implementing evaluation. Since all of these factors can influence evaluation decisions, it is extremely hard to identify "one size fits all" evaluation approaches.

Alignment of grant making with a foundation's overall philosophy is also important. Foundations need to clearly articulate whether grants and investments will be targeted – that is, funds are directed to a certain program, activity, or product that relates to a particular stage of the policy process, or general – that is, funds are for operational support or organizational capacity-building. Outcome expectations and evaluation approaches will significantly differ for a grant that supports a particular research effort, one that provides resources for the printing and distribution of specific materials that are part of a

[10] Garber, A. & Thomas, R. (2006). Measure repealing gay rights won't be on ballet. 7 June 2006. Seattle Times. Retrieved September 1, 2006, from http://archives.seattletimes.nwsource.com/cgi-bin/texis.cgi/web/vortex/display?slug=petitions07m&date=20060607&query=Ed+Murray

[11] Ferris, J.M. (2003). Foundations & Public Policymaking: Leveraging Philanthropic Dollars, Knowledge, and Networks. Los Angeles, California: University of Southern California, The Center on Philanthropy and Public Policy. Stages in the policy change process are defined as problem definition, agenda setting, policy formulation, policy adoption, policy implementation and evaluation of policy impact. Venues are defined as ballot initiatives, a legislative process, administrative rules, and a legal process or judicial review. Jurisdictions include local, state and national policy arenas.

public awareness campaign, and a general grant that supports the overall operations of a particular organization in a long-term effort to change policy or conditions.

The primary purpose for evaluation of advocacy and policy work is yet another way foundations can differ. Foundations may implement evaluation to monitor grantee performance, to inform strategy development and improvement, to build knowledge across a given field, to build capacity to address particular issues, to strengthen and expand support for a policy or social change goal, or a combination of these. All of these decisions will shape foundation's evaluation practice.

BENEFITS OF EVALUATION

Despite the challenges, there are many good reasons to implement evaluation of advocacy and policy work. For foundations, evaluation may support best business practices or provide evidence that investments are leading to achievement of desired goals. For non-profits, evaluation may provide information that clarifies what are meaningful and appropriate expectations with regard to advocacy and policy work, as well as what strategies are most effective for achievement of desired goals. Both funders and non-profits are motivated to make the case that their investment of resources, time, efforts and dreams are making a significant difference. Evaluation research methods offer credible and reliable tools and processes to make this case as well as to develop a deep understanding about what is working and what might need to be rethought in the area of advocacy and public policy change.

In the early 1990s, program evaluation was a new concept for many organizations involved in the delivery of social and human services. As program evaluation began to be widely implemented, skepticism and worry were common among many social and human service program providers. Complaints included providers' perceptions that the results of their program's work could not be adequately named or measured; that program evaluation was far too academic and complex to implement in a program setting, and that evaluation would surely take away resources from direct service delivery. Over the past decade and a half, evaluation has become much more commonplace for social service programs, particularly in the non-profit and public sectors.   And while not all program evaluation designs may meet the "gold standards" of methodological rigor due to resource or other constraints, these efforts are typically based on strong social science principals.   Over and over again, program staff and managers have found evaluation efforts to yield meaningful, instructive, real-time information that has been used to determine program effectiveness, as well as how programs might be improved.

The situation is reminiscent with regard to measurement of advocacy and policy work. Evaluation in this field has been viewed as a new and intimidating prospect, though it does not have to be. This guide shows how meaningful, instructive evaluation of advocacy and policy work can be undertaken in a variety of settings. While the rigor and resource needs of control- or comparison-group designs may sometimes be appropriate, this guide offers a wide range of approaches to evaluating advocacy and policy work which are highly accessible and practical.   Again, these evaluation approaches can provide meaningful information to help those involved in advocacy and policy work determine how strategies are working, what has changed, or how progress is being made towards ultimate goals.

Gary Henry, a well-known evaluator of public communication campaigns, has written that the tools and methodologies for evaluating this arena are "vastly deficient." However: **"[w]e should not be daunted by the methodological challenges....We have to push ahead; we have to try some new things. We have to put data collection strategies into the field even if they are imperfect, try them, and work on their development.**"[12] This statement is true of efforts to evaluate the broad array of advocacy and policy efforts, and it is our hope that this guide will help advance the field in this area.

[12] Henry, G. T. (2002). Ask the Expert: What do evaluators of public communication campaigns need to do to advance their work and this field? The Evaluation Exchange. 3, 3. Cambridge, Massachusetts: Harvard Family Research Project. Retrieved April 13, 2006, from http:/www.gse.harvard.edu/hfrp/eval/isue20/expert1.html

SECTION 2

Designing Appropriate Evaluations

The previous section has described the landscape and context for evaluation of advocacy and policy work. This section will ground that broader discussion by offering insights and practical guidance about specific evaluation approaches that may be applicable in the advocacy and policy arena.

There are many issues to consider with regard to the identification and selection of meaningful evaluation methods, including the kinds of goals to be pursued, the purpose of evaluation and a grant maker's involvement in evaluation. We present a stepwise approach to making evaluation design choices. The three steps are as follows:

1. Start with a theory of change
2. Identify outcome categories
3. Select a practical and strategic approach to measurement

Each of these steps will be discussed specifically as they apply to evaluation of advocacy and policy work.

START WITH A THEORY OF CHANGE

Theory of change has become common parlance among both funders and non-profits; the term is usually used to describe the conceptual model for achieving a collective vision. A theory of change typically addresses the set of linkages among strategies, outcomes and goals that support a broader mission or vision, along with the underlying assumptions that are related to these linkages (i.e. "if we implement these strategies, why do we expect these changes will occur?"). Theory of change has been called many things: a roadmap, a blueprint, an engine of change, a theory of action, and more.[1]

A theory of change is typically expressed in a visual diagram that depicts a set of strategies, outcomes and goals and the logical interconnections among them. It is perhaps best viewed as a map of how you get from "here" to "there." This visual diagram is often supplemented with narrative detailing key assumptions and other relevant context for understanding the specific theory of change. (See Appendix X for a sample of a Theory of Change.)

[1] For further discussion about theory of change, see the following works:

Anderson, A. (2005). The Community Builder's Approach to Theory of Change: A Practical Guide to Theory Development. New York: The Aspen Institute Roundtable on Community Change. Retrieved May 31, 2006, from http://www.aspeninstitute.org/site/c.huLWJeMRKpH/b.612045/k.4BA8/Roundtable_on_Community_Change.htm

Organizational Research Services. (2004). Theory of Change: A Practical Tool for Action, Results and Learning. Seattle, Washington: Annie E. Casey Foundation.

Guthrie, K., Louie, J., David. T. & Crystal-Foster, C. (2005). The Challenge of Assessing Advocacy: Strategies for a Prospective Approach to Evaluating Policy Change and Advocacy. Prepared for The California Endowment. Woodland Hills, California: The California Endowment.

Although a theory of change results in a concrete product, the process for developing this theory of change is equally as valuable as its physical documentation. The process is based on the involvement of selected stakeholders who collaborate in a process of developing agreement about the pathway for achieving their collective vision.

We will assert that a theory of change is a fundamental starting point for designing an appropriate evaluation for advocacy and policy work. We have two main reasons for this assertion:

1. Specificity about high level strategies and outcomes. Funders and non-profit organizations usually find it easy to talk about a broad vision and long-term goals that they are hoping to achieve. These goals and vision statements are typically far-reaching and reflect a profound change in basic societal conditions and the behaviors associated with these conditions.

The theory of change drills down from the global picture in order to create specificity about the strategies and logical outcomes that comprise the path to long-term significant changes. Constructed from a high enough vantage point perspective (approximately 30,000 foot aerial view), these strategies and outcomes represent high level actions and impacts. They do not provide a specific implementation plan. Instead, they articulate the "theory" about how change takes place and what landmarks to look for along the way. This is a particularly important process in the context of social change in which multiple approaches are at play—e.g., economic, legalistic, community development, educational, social marketing—and the theory of change is usually taken for granted. The specificity about progress markers reflects these distinct approaches and provides critical focus to the essential categories that are appropriate for gauging progress.

Common agreement about impact. The California Endowment Fund (2006, pp. 18-21) has heightened our awareness about the varying conceptual models that co-exist among funders and the organizations that are steeped in advocacy and policy work. These models provide the ideological and structural context for a social change/policy change process. These models are as follows: social change, policy change and advocacy.

Social Change Model. The impact of social change is large-scale societal change. This broad model includes both policy change and advocacy but is focused far more broadly on changes in the physical and/or social conditions. The logical result of social change relates to conditions of poverty, the environment, health, equality, democracy, and so on. Changes of this nature are measured on the level of individual and population elements –whether it is human lives or ecological species.

Case Illustration

A prime example of this model is the Annie E. Casey Foundation Making Connections initiative that invests in a place-based comprehensive community change strategy to achieve family economic success, school readiness, effective and responsive service systems and social connectedness. This initiative takes a ten-year long-term approach to strengthening the context of children's lives—by investing in strategies that strengthen families and neighborhoods. The initiative operates on multiple levels—including both strategies that directly impact children and families and strategies that influence the resources, organizations, institutions and systems that affect children, families and neighborhoods.

Policy Change Model. Policy change targets changes in the policy arena, including both policy development and implementation. The logical result of policy change may be policy development, new or revised policy, policy enforcement, adequate resources, and so on. The impact of policy change efforts is changes in the structural and normative context of communities and institutions. Policy change efforts are fundamental to changes in social and physical conditions, but a change in policy is not social or physical change itself.

Case Illustration

The Brainerd Foundation, a family foundation focused on conservation, offers a clear example of a grant making program focused on policy change.

Brainerd Foundation Program Areas
The Foundation makes grants through three program areas: Conservation Policy, Place-based Conservation and Conservation Capacity.

Conservation Policy
Our Conservation Policy program is aimed at achieving policy gains at the state (or provincial) and local levels. Strategies to advance this goal vary by state and province, with the overarching theme being a commitment to support policies that ensure the protection of our region's air, land and water.

We encourage groups collaborating on common policy priorities to take their work to a higher level of effectiveness by deepening their connection to public concerns and holding policymakers accountable to an informed and engaged citizenry. In places where such collaborations are not underway, we look for opportunities to bolster public support for strong conservation policies. We expect conservation advocates to advance successful policies by building their base of support and demonstrating a conservation mandate to decision makers in the region. Grants in this program range from $20,000 to $50,000.
Measures of Success: as a result of these investments, we expect to see:
Policy gains at the state (or provincial) and local level, e.g.:
Successful adoption of policy priorities identified by state and provincial level advocates.

(Please note that the Brainerd Foundation program areas span all three models described here. This excerpt is an illustration of their policy change model.)

[2]

Advocacy Model. Advocacy is a tactic for achieving social or policy change, such as framing the issue, developing alliances, data gathering and dissemination. The impact of advocacy efforts provides the essential infrastructure that leads to policy change and subsequently to social change. Key examples of the

[2] Brainerd Foundation. (2006). Mission and Strategy. Seattle, Washington: Brainerd Foundation. Retrieved May 31, 2006, from http://www.brainerd.org/about/mission_strategy.php

impact of advocacy efforts are strategic alliances, public awareness, public will, and political will.[3]

Case Illustration

The California Endowment's transition from "grantmaking" to "changemaking" has led to development of new foundation tools that are valuable to advocacy efforts. A clear example of its support for advocacy as strategy for social change is demonstrated in its Center for Healthy Communities which is dedicated to mobilizing civic leaders, health providers, advocates and policymakers in the quest for solutions to critical health care issues. (www.calendow.org/chc.newsletter)." The Center provides an accessible and affordable conference facility, presents public programs and convenings, and provides in-depth training opportunities. For example, their HealthExchange Academy offers a series of trainings and web-based resources to "strengthen the capacity of those on the front lines of health improvement efforts." As the California Endowment sees it: *"Systems change starts with individual action. Advocates must have motivation and skills to get the facts, define the problem, organize support, and communicate a clear and compelling story of what is wrong and what should be done. .In addition to building individual skills, training sessions will deepen overall understanding of the policy arena and help build the capacity of communities to move their own agendas forward.""*

Annie E. Casey's Kids Count initiative also illustrates advocacy in its national work aimed at tracking the status of children in the United States. By gathering, analyzing and disseminating key indicators about children's welfare state by state, Kids Count helps to focus both public and policy maker attention on the needs and gains in child well-being. Kids Count benchmarks enrich local, state and national discussions about policy trends and policy goals. This data-driven advocacy strategy is instrumental to guiding policy development and education that promotes policy change.

Importantly, advocacy and policy change efforts are often viewed as investments in community infrastructure, public opinion, political will or policy adoption itself. This work is less often framed as social change—which tends to be more comprehensive, longer-term, and focused on changes in lives and environments. While advocacy and policy work may lead to social change, the specific funding arrangement is likely to have time and resource parameters that focus on specific advocacy and policy components rather than the long term change in social conditions.

Best practice in the development of a theory of change calls for a group process that will allow key stakeholders or partners to grapple with directions for change and come to common agreement about the impact of advocacy and policy work. Although various partners may have different individual and group agendas, the theory-of-change work will produce a clear statement about what success will

[3] Note that federal guidelines regulate specific direct lobbying activities. For more information and guidelines, see the Alliance for Justice website: www.afj.org.

look like—both in the short and long-term. For some efforts, "long-term" might be three years—e.g., time to create political will to support specific legislation. For other efforts, partners may be interested in a much longer time horizon – e.g. fifteen or more years for restoration of environmental corridors used by large mammal habitat. For some groups, the theory of change's projected impact may be too far out in the distance, for others—not far enough.

At a minimum, the process of developing the theory of change will provide guidelines for funders and grantees alike about where they are going now, e.g., the next one to three years, and what it will look like when they arrive. Such clarity and focus on impact strengthens mutual understanding, expectations, communication and evaluation of success.

The process of developing a theory of change will offer powerful insight for all of the partners and stakeholders about the How, What and Why of advocacy and policy work. The strategies and outcomes clarify the How and What. The articulation of the ultimate impact describes Why the work is happening. The product of this work will provide essential clarity for developing an evaluation design. This clarity is essential for determining responses to key evaluation design questions, such as—what specific strategies and outcomes should be measured? What should be the frequency and duration of evaluation data collection? What should be the level of rigor of the evaluation structure and processes? What types of quantitative or qualitative methodologies might be applied? And, what will be the format for communicating results?

Once a theory of change has been mapped, the next step in determining an evaluation design is identification of outcomes, namely the types of outcomes that are salient to advocacy and policy work.

IDENTIFY YOUR OUTCOME CATEGORIES

This guide lifts up a core set of outcome categories that directly relate to advocacy and policy. These outcomes can provide concrete direction to your selection of What to measure that will allow you to make the case about success and will also deepen your understanding and learning about your progress.

Outcome categories are fairly standardized and widely accepted in the service delivery arena. Counseling programs address mental health functioning, parenting programs address family management and nurturing, educational programs address student achievement and so on. In contrast, this type of standardization does not yet exist for outcomes related to advocacy and policy. The previous discussion about theory of change provides a background for understanding the context for making these outcome selections for advocacy and policy work.

Depending on the theory of change—and the conceptual model in which a set of outcomes is grounded-- outcomes can potentially span a broad continuum and can be both near term and long term. Social change outcomes are most likely to occur after multiple other changes have happened, such as public awareness, political will, policy adoption and implementation to the physical and social changes in lives and communities. The strategies associated with both social change and policy change will further limit or expand the selection of outcomes—based on the number and type of strategies that are the focus of activity.

We have reviewed a broad range of outcome categories and sample indicators of progress. These categories have been compiled from multiple sources, including evaluation reports, expert interviews with advocacy experts, and literature about foundation involvement in advocacy and policy work. Over and over, the same types of outcomes emerge. We present these outcome categories not to duplicate or correct any other existing sources, but rather to consolidate, emphasize and confirm what appear to be the important areas of change in advocacy and policy work.

Some of the outcomes presented here represent the interim steps and infrastructure that create the conditions for changes in society and the environment. Others reflect the end-game: policy adoption, funding or enforcement in various jurisdictions, e.g., local, state, federal. We have distilled these outcomes into six distinct categories representing the essential changes in lives, community conditions, institutions and systems that result from advocacy and policy work. We propose these outcome categories are as follows:

1. SHIFT IN SOCIAL NORMS

   Description: the knowledge, attitudes, values and behaviors that comprise the normative structure of culture and society. Advocacy and policy work has become increasingly focused on this area of changes in recognition of the importance of aligning advocacy and policy goals with core and enduring social values and behaviors.

2. STRENGTHENED ORGANIZATIONAL CAPACITY

   Description: the skill set, staffing and leadership, organizational structure and systems, finances, and strategic planning among of non-profit organizations and formal coalitions that plan and carry out advocacy and policy work. The development of these core capacities are critical organizational conditions to the ability to implement and sustain advocacy and policy change efforts.

3. STRENGTHENED ALLIANCES

   Description: the level of coordination, collaboration and mission alignment among community and system partners—including nontraditional alliances, e.g., bipartisan alliances; unlikely allies. These structural changes in community and institutional relationships and alliances have become essential forces in presenting common messages, pursuit of common goals, enforcement of policy changes and insuring the protection of policy 'wins" in the event that they are threatened. .

4. STRENGTHENED BASE OF SUPPORT

   Description: the grassroots, leadership and institutional support for particular policy changes. The breadth and depth of support among the general public, interest groups and opinion leaders for particular issues provides a major structural condition for supporting changes in policies. This outcome category spans many layers of culture and societal engagement including increases in civic participation and activism, "allied voices" among informal and formal groups," the coalescence of dissimilar interest groups, actions of opinion leader champions, and positive media attention.

5. IMPROVED POLICIES

   Description: the **stages of policy change in the public policy arena.** These stages include policy development, adoption, implementation and funding. This has frequently been the past focus of measuring the success of advocacy and policy work. It is certainly the major focus of such work but is rarely achieved without changes in the preconditions to policy change identified in the other outcome categories.

6. CHANGES IN IMPACT

   Description: the **ultimate changes in social and physical lives and conditions**, .i.e., changes in individuals, populations and physical environments, that motivate policy change efforts. Changes in impacts are long-term outcomes and goals. They would be important to monitor and evaluate in those funding situations in which grant makers and advocacy organizations view themselves as partners in social change. These types of changes are influenced by policy change but typically involve far more strategies, including direct interventions, community support, personal and family behaviors, than policy change alone.

Table 1. presents these outcome categories along with samples of outcomes and the strategies that are associated with these broad outcomes. Please note that the order of outcomes is not intended to represent their importance or priority.

Table 1. Menu of Outcomes for Advocacy and Policy Work

1. SHIFT IN SOCIAL NORMS	
Examples of Outcomes	♦ Changes in awareness ♦ Increased agreement of the definition of a problem (e.g., common language) ♦ Changes in beliefs ♦ Changes in attitudes ♦ Changes in values ♦ Changes in the salience of an issue ♦ Increased alignment of campaign goal with core societal values ♦ Changes in public behavior
Examples of Strategies	♦ Media campaign ♦ Message development (e.g., defining the problem, framing, naming) ♦ Development of trusted messengers and champions
Unit of Analysis (e.g. Who or What Changes?)	♦ Individuals at large ♦ Specific groups of individuals ♦ Population groups
2. STRENGTHENED ORGANIZATIONAL CAPACITY	
Examples of Outcomes	♦ Improved organizational capacity of organizations involved with advocacy and policy work (e.g., non-profit management, strategic abilities; capacity to communicate and promote advocacy messages; stability) ♦ Increased ability of coalitions working toward policy change to identify policy change process (e.g., venue of policy change, steps of policy change based on strong understanding of the issue and barriers, jurisdiction of policy change)
Examples of Strategies	♦ Leadership development ♦ Organizational capacity building ♦ Communication skill building ♦ Strategic planning
Unit of Analysis (e.g. Who or What Changes?)	♦ Advocacy organizations ♦ Not-for profit organizations ♦ Advocacy coalitions ♦ Community organizers, leaders
3. STRENGTHENED ALLIANCES	
Examples of Outcomes	♦ Increased number of partners supporting an issue ♦ Increased level of collaboration (e.g., coordination) ♦ Improved alignment of partnership efforts (e.g., shared priorities, shared goals, common accountability system) ♦ Strategic alliances with important partners (e.g. stronger or more powerful relationships and alliances)
Examples of Strategies	♦ Partnership development ♦ Coalition development
Unit of Analysis (e.g. Who Changes?)	♦ Individuals ♦ Groups ♦ Organizations ♦ Institutions

4. STRENGTHENED BASE OF SUPPORT	
Examples of Outcomes	♦ Increased public involvement in an issue ♦ Increased level of actions taken by champions of an issue ♦ Increased voter registration ♦ Changes in voting behavior ♦ Increased breadth of partners supporting an issue (e.g., number of "unlikely allies" supporting an issue) ♦ Increased media coverage (e.g., quantity, prioritization, extent of coverage, variety of media "beats," message echoing) ♦ Increased awareness of campaign principles and messages among selected groups, e.g., policy makers, general public, opinion leaders) ♦ Increased visibility of the campaign message (e.g., engagement in debate, presence of campaign message in the media) ♦ Changes in public will
Examples of Strategies	♦ Community organizing ♦ Media campaigns ♦ Outreach ♦ Public/grassroots engagement campaign ♦ Voter registration campaign ♦ Coalition development ♦ Development of trusted messengers and champions ♦ Policy analysis and debate ♦ Policy impact statements
Unit of Analysis (e.g. Who or What Changes?)	♦ Individuals ♦ Groups ♦ Organizations ♦ Institutions
5. IMPROVED POLICIES	
Examples of Outcome	♦ Policy Development ♦ Policy Adoption (e.g., ordinance, ballot measure, legislation, legally-binding agreements) ♦ Policy Implementation (e.g., equity, adequate funding and other resources for implementing policy) ♦ Policy Enforcement (e.g., holding the line on bedrock legislation)
Examples of Strategies	♦ Scientific research ♦ Development of "white papers" ♦ Development of policy proposals ♦ Pilots/Demonstration programs ♦ Educational briefings of legislators Watchdog function
Unit of Analysis (e.g. Who or What Changes?)	♦ Policy planners ♦ Administrators ♦ Policy makers ♦ Legislation/laws/formal policies

6. CHANGES IN IMPACT	
Examples of Outcome	♦ Improved social and physical conditions (e.g., poverty, habitat diversity, health, equality, democracy)
Examples of Strategies	♦ Combination of direct service and systems-changing strategies
Unit of Analysis (e.g. Who or What Changes?)	♦ Population ♦ Ecosystem

Definition of outcomes is a crucial step of your evaluation design. We suggest that advocacy and policy efforts can be viewed in the context of one or more of these broad outcome categories. They specific element of the outcome category will be directly related to the funded strategy. Consider the following examples:

Proposed Activity or Resources	Sample Outcome Category
1. Development of a strategic plan	♦ Strengthened organizational capacity
2. Staff position for managing a media campaign	♦ Strengthened organizational capacity ♦ Shift in Social norms
3. Staff and resources for organizing coalitions in six counties	♦ Strengthened organizational capacity ♦ Strengthened base of support
4. Staff, operational and evaluation costs for carrying out a demonstration pilot program	♦ Strengthened organizational capacity ♦ Improved policies
5. General operations	♦ Strengthened organizational capacity ♦ Specific outcome category that is applicable (e.g., Shift in social norms, Strengthened base of support)

These broad outcomes would need to be further refined to determine specific outcome elements for measurement. Take for example, a media campaign that is intended to (1) influence social norms and (2) increase the base of support. The design of this campaign, message development, media materials, media venues, campaign message, specific audiences, frequency of messages, placement of messages, duration of the campaign, formats, partnerships involved in carrying out the campaign, duration of this campaign and any other related and supporting or enhancing strategies that are occurring simultaneously with the campaign are essential factors that will determine appropriate outcome selection. These specific outcomes are numerous. Some examples follow:

- Changes in awareness of an issue
- Changes in knowledge about the severity of an issue
- Changes in knowledge about what actions to take
- Changes in salience of an issue
- Changes in willingness to support an issue
- Changes in voting behavior

These types of outcomes can span many issue areas, including recycling, early learning opportunities for young children, affordable housing, access to medical insurance, and many other wide-ranging issue areas.

The selection of outcomes is a crucial step in the evaluation process. The outcome needs to be a direct reflection of the type of change that it is intended and realistic in the context of advocacy and policy work. The selection of outcomes relates to the theory of change and provided specificity regarding the success measures that are most relevant to a given effort. Once outcome selections are made, the next step in developing an evaluation design is determining the structure and process which will be used to measure the selected outcomes. We turn now to a presentation of specific considerations in determining outcome measurement approaches.

SELECT A PRACTICAL AND STRATEGIC APPROACH TO MEASUREMENT

Evaluation design typically refers to the wide range of choices related to data collection. The broad questions posed are:

- What will be the level of rigor of data collection?
- From whom will data be collected?
- When will data be collected?
- What type of questions will the data address?

Answers to these types of questions provide the platform for determining the frequency of data collection, the intensity of data collection, the sample(s) from whom data will be collected, the quantitative or qualitative nature of data, the data collection tools needed, and the specific information that is systematically gathered.

These design choices will necessarily depend on a variety of factors, including the purpose and audience of evaluation for a particular grantmaker and the nature of the grant awarded, e.g., size, scope, scale, capacity of the grantee and so on.

PRACTICAL APPROACHES TO MEASUREMENT

This guide has asserted that the advocacy and policy arena has its unique challenges when considering evaluation design issues concerning the long-term and dynamic nature in which change occurs in this arena. While the traditional gold standard of experimental evaluation design would work well in some circumstances, it would be out-of-reach or inappropriate in many others.

Our review of various approaches to evaluation that have been emerging and applied to advocacy and policy work has led us to propose five promising directions to guide development of an evaluation design. These directions can be classified as follows:

A. Identification and measurement of core outcome areas related to social change or policy change

B. Evaluation of strategic progress

C. Identification and measurement of short-term incremental objectives

D. Assessment of the **capacity** of the advocacy and policy organization

E. Case study documentation of **process and impacts**

Direction A. Identification and measurement of core outcome areas related to social change or policy change

Description:

- Focuses attention on core outcomes related to the policy and social change continuum
- Well-suited to a wide range of methodologies ranging from pre and post-test outcome measurement to rigorous experimental designs
- Examples of core outcomes: Changes in the salience of an issue; Improved organizational capacity of organizations involved with advocacy and policy work; Increased number of partners supporting an issue; Policy adoption; Improved social conditions

When Is It Applicable?

Longer-term policy and advocacy efforts involving a partnership among funders and advocacy organizations. This evaluation direction is most suitable to those initiatives that believe that evaluation data is valuable for supporting ongoing learning and course adjustments and are willing to devote resources (e.g., financial, staff time, external evaluation consultants, partner engagement, and leadership) to evaluation efforts.

What Are the Benefits?

- Initiatives will be able to demonstrate that their strategies have made a difference, including:
    - Linkages between strategies and results
    - Process learnings
    - Steps of change expressed in concrete indicators of change, short-term, intermediate-term, long-term
- Outcome evaluation data support multiple agendas of establishing merit and worth, guiding initiative improvement, fostering knowledge development and offering accountability.

Direction B. Evaluation of Strategic Progress

Description:

- A systematic plan to consider a core set of strategic questions about process that support strategic thinking and reflection.
- Primarily qualitative approach to data collection, using individual and group interviews and discussions. Can be integrated smoothly into ongoing group planning work.
- Examples of core questions:
- Who needs to change? Whose voice needs to be heard? Who do you need to reach? How does change occur? What is the jurisdiction of change?

What is the current window of opportunity for change? Where is it best to direct efforts over the next year? How often should we reflect on our progress to determine changes in strategies? What is a realistic short term outcome/indicator of progress?

When Is It Applicable?

All advocacy and policy work. This set of evaluation questions supports strategic thinking and action and is integral to assessing progress and learning in all policy and advocacy efforts.

What Are the Benefits?

- Supports learning on the part of grantee and funder as well as their partners and stakeholders
- Encourages reflection, intentionality and course changes as needed
- Documents accomplishments to support accountability of the grantee's efforts

Direction C. Evaluation of Short-Term Incremental Objectives

Description:

- Focuses on short-term outcomes, including "wins," indicators, outputs, milestones, benchmarks.
- Identification and measurement of short-term incremental objectives
- Matches well with result-based accountability frameworks
- Examples of short-term objectives:

community champions engaged, x # emails/letters to legislators; inclusion of key policy goal in proposed legislation; # voters registered; increased number children enrolled in subsidized child care.

When Is It Applicable?

All advocacy and policy work. These incremental measures offer markers of change and are well-suited to tracking progress and reporting results to internal and external audiences.

What Are the Benefits?

- Provides those engaged in advocacy and policy work with a focus and accountability on indicators of progress, while allowing for flexibility to adjust these indicators in 'real-time."
- Provides an accountability measure for funders to communicate that their "investment" in this area has made a difference in concrete, incremental terms.
- Frames advocacy and policy work as a dynamic and complex process that is comprised of "wins" and "losses,"-some that happen from careful and intentional planning and others due to the chaotic nature of social change.

Direction D. Assessment of the capacity of the advocacy and policy organization

Description:

- An assessment (identification and measurement) of key elements of organizational capacity needed to successfully implement advocacy and policy work
- Emphasizes a social movement model that holds up “readiness” and “sustainability” as key elements of social change
- Examples of organizational capacity outcomes
- Leadership; strategic planning; finances; technological capacity; communication skills and capacity.

When Is It Applicable?

Longer-term policy and advocacy efforts involving a partnership among funders and advocacy organizations. This evaluation direction aligns with a partnership model of social change that emphasizes the importance of the civic infrastructure that advances advocacy and policy goals.

What Are the Benefits?

Focuses attention on the “double bottom line” that progress in advocacy and policy work is dynamic and the readiness and preparedness of the agents of change (advocacy organizations) and the coalitions they mobilize are essential for advancing progress toward policy goals, deepening progress toward policy goals and holding a defensive line about policy “wins” when necessary.

Direction E. Case Study Documentation of Process and Impacts

Description:

- Documentation, description, reflection, and analysis of the efforts and effects, as well as the context, of advocacy and policy work
- Identifies key events, partners, circumstances, progress markers, and impacts for the focus of data collection and analysis. Both qualitative and quantitative methodologies are appropriate.
- Examples of case study topics:
- Perspectives of progress from key informants at critical moments; description of key events and the processes that contributed to these markers; analysis of the partners engaged in social change effort; analysis of specific linkages in a theory of change map.

When Is It Applicable?

- Longer-term efforts in which knowledge development of the field of advocacy and policy work is highly prioritized or where there is a desire to apply learnings and identify future strategic directions. This evaluation direction aligns with theory-of-change framework for evaluating comprehensive community change. It further reflects an acceptance that advocacy and policy work is often grounded in chaos theory or complexity theory and may be very non-linear.

What Are the Benefits?

- Advocacy organizations and their partners and stakeholders can benefit from learning about what has happened in the process of social change, e.g., types of strategies and partners engaged, "wins" and "losses," the context (e.g. political, social, economic) of change, case illustrations, "lessons learned" and so on.
- The "story" of social change will be documented and shared broadly
- Funders of policy and social change will be able to draw upon case illustrations to communicate the story of change.

Each of these directions have merit and may be applied alone or in combination with each other. It is most important to be clear about the purpose of the evaluation to guide the choice of the appropriate direction for evaluation. Once a direction is decided upon, there is a wide range of methodologies available to apply to the evaluation, including qualitative and quantitative methods and a full spectrum of experimental, quasi-experimental and theory-of-change designs. The level of formality and rigor can be selected to best fit particular situations. The concept of a "portfolio" approach to evaluation could be considered, whereby some advocacy and policy efforts are evaluated with far greater intensity than are other efforts.

We turn now to an illustration of options for evaluation plans. Additional illustrations are available in the Appendix.

OPTIONS FOR EVALUATION PLANS

The methodology for evaluation research is based on sound social science research techniques and principles. These disciplines depart from each other in the nature of the "applied" work of evaluation research. Social science research techniques are guided by rigorous academic and scientific standards that qualify for building disciplinary knowledge. In contrast, evaluation research is guided by practical and applied interests that support the ability to make program and policy decisions. The methodological techniques are the same, however the standards for evidence are often more stringent in the academic and scientific arenas.

Let's take one of the evaluation approaches to illustrate how to consider the range of choices. For purposes of illustration, we'll examine the identification and measurement of core outcome areas related to social change or policy change. Table 2 below outlines the focus of the outcome question, data collection methods or tools, frequency and schedule of data collection and sampling strategy. It is important to think through each of these choices in designing a complete evaluation plan.

Table 2. Identification and measurement of core outcome areas related to social change or policy change

Focus	Data Collection Methods or Tools	Frequency and Schedule of Data Collection	Sampling Strategy
Broad outcomes and specific sub-outcomes and indicators related to social change and policy change	Option 1. Survey Option 2. Key informant interviews (conducted by internal or external evaluators) Option 3. Content analysis of media publications, ordinances, legislation, etc	Regularly scheduled data collection Option 1. Pre and post test data collection points Option 2. Pre and post test and midpoint data collection points Option 3. Longitudinal data collection points, e.g., every six months, annually, or biannually over 10 years	Sampling will vary according to the outcome measured. Option 1. Random sample of the public Option 2. All legislative representatives or their key staff Option 3. Stratified sample of neighborhood residents in different socio-economic strata Option 4. Purposive sample of opinion leaders Option 5. Coalition representatives from partner organizations

This table demonstrates that evaluation options are wide ranging. For example, the evaluation could focus on an outcome of change in social norms in a school setting. Data related to change in social norms could be either qualitative or quantitative. A qualitative option would be interview with a "purposive" sample of key informants who are deeply entrenched in a community to gain their close-up perspective about how community behavior has been changing. These key informants could have both either formal or informal expertise, e.g. a school principal, a school crossing guard, and a parent who regularly volunteers. In contrast, a quantitative option could be a survey that directly asks community members to report their level of agreement with and likeliness to participate in particular behaviors. This survey could gather data from a random sample of households at three time points—baseline, midpoint and one year later.

These methodological options represent very different approaches to the measuring the same outcome. They could also both be implemented in order to "triangulate" the data and strength the type of information available for analysis.

The options listed in the table are far from comprehensive. The full spectrum of social science techniques would be appropriate to consider for measuring core outcomes. Some of the other evaluation directions may be more restricted in their choices. For example, the measurement of short-term incremental changes would focus on more expedient methodologies in view of its shorter-time frame. Similarly, evaluation of strategic progress would rely heavily on data collection methods that can be quickly implemented. Illustrations of options for each of these evaluation directions are provided in a set of tables included in the appendix. These options are intended to suggest a range of ways to think about methodological choices, while keeping in mind that they are not the only choices available.

The following section will take this discussion one step further and offer concrete and practical examples of actual data collection tools and methods that can be applied in the field. Again, they are examples intended to provide practical illustrations but do not represent the universe of data collection tools.

This guide has presented considerations and issues raised related to design choices in order to help those interested in evaluating advocacy and policy work make strategic choices. Through the three-step process presented, interested parties can give shape to a useful and practical approach to evaluation.

After the pathway has been laid out in a theory of change, and outcomes have been identified, those seeking to evaluate advocacy and policy work will need to consider the types of questions they hope to answer, as well as the evaluation directions that may yield the most meaningful and relevant information to address those questions. Once evaluation directions have been established, the next step is to identify the specific data collection procedures and data collection tools that are directly applicable. A full set of examples of data collection procedures and tools are provided in the next section of this guide.

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SECTION 3

Documenting Policy and Advocacy Efforts: Data Collection Processes and Tools

The previous section provided recommendations to guide evaluation design. This section is dedicated to providing examples of practical tools and processes for collecting useful information from policy and advocacy efforts.

These examples are actual or modified tools used for evaluating existing campaigns or related efforts. We endeavored to identify a wide range of data collection methods rather than primarily relying on traditional pre/post surveys and wide opinion polling. When possible, innovative applications of tools or methods have been included to provide a broad range of options for grantees and funders.

We primarily identified sample tools to measure the core outcome areas related to social change or policy change. For each outcome area, several data collection options are offered as well as relevant methodological notes on ways to implement or adapt particular methods. In addition, examples of tools and methods related to other types of evaluation design are also provided.

A few notes about the data collection tools and methods:

- Some methods will be appropriate for grantees to conduct on their own; others will be more appropriate for the funder or an external evaluation consultant.

- Tools provided will be most relevant to state, local and organizational policy and advocacy efforts. Some tools or methods may be relevant to the evaluation of national advocacy or policy work, but this was not the focus in preparing this guide.

MEASURING CORE OUTCOME AREAS

Measuring changes within broad outcome areas is one way foundations can communicate progress toward critical outcomes in the advocacy and policy change continuum. Common outcome areas can also help funders aggregate results across different organizations and help advocacy organizations feel confident that they are making progress toward longer-term goals. This section identifies and provides specific examples of data collection options for each broad outcome area:

- Shifts in Social Norms

- Strengthened Organizational Capacity

- Strengthened Alliances

- Strengthened Base of Support

- Improved Policies
- Changes in Impact

Outcome Area: Shift in Social Norms

Shifts in social norms include the knowledge, attitudes, values and behaviors that comprise the normative structure of culture and society. Advocacy and policy work has become increasingly focused on this area of changes in recognition of the importance of aligning advocacy and policy goals with core or enduring social values and behaviors. Changes in social norms include many types of changes, including:

- Changes in awareness
- Increased agreement of the definition of a problem
- Changes in beliefs/attitudes/values
- Changes in the salience/importance of an issue

Because changes in norms require determining how people feel and think about particular issues, data efforts will typically include surveys, focus groups or interview questions. The unit of analysis for this outcome area includes individuals at large or specific groups of individuals or population groups. When evaluating this outcome area, it is important to identify who has been targeted for change. This could range from the general population in a city or geographical region to a population group, like the working poor, to a smaller targeted group of legislators.

Interview Protocol: Changes in Awareness and Prioritization

Samuels & Associates, a public health evaluation, research and policy consulting firm in California, evaluated the impact of a policy brief released by the California Center for Public Health (CCPH) that provided information on death rates due to diabetes based on California senate and assembly member districts. Samuels & Associates surveyed stakeholders to learn, in part, how they had changed their awareness and knowledge levels regarding prevention of diabetes and prioritized the issue due to the policy brief.

Excerpted Questions from: POLICY BRIEF STAKEHOLDER SURVEY[1]

Stakeholder Name:
Title/Role:
Organization:
Phone Number:
Date/Time of Interview:

INTRO: In February of 2004 the California Center for Public Health Advocacy released a policy brief ranking death rates due to diabetes based on California Assembly and Senate member districts. As part of the evaluation of this effort, Samuels & Associates has been contracted by the California Center for Public Health Advocacy to conduct a survey of key individuals associated with the state legislature and community organizations working with diabetes programs and nutrition and physical activity programs. Interviewees will include legislative staff, members of the scientific community, and members of local community organizations throughout the state. The questions focus on the impact and use of the policy brief. We would like you to participate in this survey, and look forward to hearing your opinions and thoughts. This survey will take approximately 20 minutes and all responses will be kept confidential.

1. How do you prioritize diabetes in terms of preventable health problems that impact your constituents/community members?
2. Has your awareness and knowledge level regarding ways to prevent and delay diabetes related deaths changed over the course of the last year? Has the policy brief contributed to your increase in knowledge? If so, in what way?
3. Did the policy brief change how you prioritize diabetes prevention? If yes, please describe how it changed your prioritization.
4. What specific diabetes prevention policies and programs would you be willing to propose or support? *Probe for introducing or supporting legislation to make physical activity a priority for communities, increasing physical education requirements for schools*
5. Have you seen an increase in community or constituent interest in the prevention of diabetes?

METHODOLOGICAL NOTE: This survey utilizes retrospective questions that ask respondents to reflect back on how they have changed as a result of the policy brief. Another technique that could be used to assess impact of the brief could be to survey targets and a comparison group. For example:

- Compare the views of decision-makers, politicians or journalists targeted by advocacy work with those of their peers who were not targeted.

[1] Samuels & Associates. (2004). Diabetes Policy Brief Eval 5.27.04. Oakland, California: Samuels & Associates. Retrieved June 6, 2006, from personal communication

- Compare the views of members of the general public targeted by campaigning work with those of people who were not targeted.2

Focus Group: Changes in Attitudes

Focus groups are facilitated discussions with a small group that can allow you to see an issue from community members' perspectives. Focus groups can help explain how people regard an experience, idea or event and provide more detailed and richer information than a single interview due to the interaction among members of the group. However, there is also the danger that some participants may be inhibited about expressing information contrary to the group sentiment. Therefore, it is useful to consider holding focus groups with "like" groups and holding multiple groups to gather information.

Sample Focus Group Questions regarding Attitudes about Welfare[3]

1. What do you think the government's role should be in relation to poverty and poor people? (Probes: Should it be a safety net? Should the government provide a ladder of opportunity to families in need?)
2. What should the federal government's priorities be for the welfare system?
3. Do you think the current welfare system encourages or discourages poor people to find work? Why?
4. How do you feel about current government spending on programs to help people on welfare move to work?
5. How do you feel about Congress promoting marriage among parents on welfare?
6. What are concerns you have about the current welfare system? What is your biggest concern?
7. What do you think the government should do to improve the welfare system?

METHODOLOGICAL NOTE: Focus groups can be held over time to assess changes that might occur in relation to activities that have been conducted; alternatively, focus groups can be held after activities have occurred. Be sure to find out if participants are aware or have been impacted by activities and in addition to if and how their feelings or beliefs have changed as a result.

Meeting Observation Checklist: Community members increase belief about the importance of addressing gun control

To move toward policy change, advocates may need to see how communities and groups prioritize specific issues. When an issue is a higher priority to community members, you can expect to see more activity in that area. For example, a simple observation checklist can help you capture how often an issue is on a meeting agenda, whether it was discussed, what the main content was, the length, and the perception of 'seriousness'.

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[2] Chapman, J., & Wameyo A. (2001). *Monitoring and Evaluating Advocacy: A Scoping Study.* London, UK: Action Aid, page 29.
[3] Peter D. Hart Research Associates, Inc. (2001). Study #6502b: Casey-TANF. Washington, D.C.: Peter D. Hart Research Associates, Inc.

Observation Checklist
For Meetings (Community, City Council, etc.)

Date: ___________________________ Length of meeting: _______________________

Setting: _________________________ Attendees: ______________________________

1. What were the main issues discussed during this meeting (e.g., academic achievement, drug/alcohol issues, sexual harassment, etc.)?

____

2. Were guns or gun control on the agenda? ❑ YES ❑ NO

3. Were guns or gun control discussed? ❑ YES ❑ NO

*(If answered "**yes**" for question 3, please continue; if answered "**no**" for question 3, please skip to question 8.)*

4. What was the main content of the guns or gun control discussion?

____

5. Was agreement reached in this discussion? ❑ YES ❑ NO

What was the length of the discussion? ____

6. Would you say that the problem(s) of guns and gun control were taken seriously by the attendees? ❑ YES ❑ NO

Please explain: ____

7. Was there any action planned related to guns or gun control? ❑ YES ❑ NO

Please explain:

____

8. Additional notes or comments:

____

____

____

Survey: Changes in Prioritization of Specific Issues

These survey questions elicit data on how community members' perceptions of how others in the community prioritize issues in comparison to their personal prioritization.

How seriously do you think your COMMUNITY treats each of the following problems?

1	2	3	4	5
Not Very Seriously				Very Seriously

CHOOSE A NUMBER FROM THE SCALE ABOVE THAT SHOWS HOW SERIOUSLY YOU THINK YOUR COMMUNITY TREATS EACH PROBLEM, AND WRITE THE NUMBER (1-5) IN THE SPACE BESIDE EACH PROBLEM.

___Living Wage
___Early Education
___Access to Health Care
___Child abuse
___K-12 Education
___Environmental Issues
___Transportation
___Privacy Issues

How seriously do YOU treat each of the following problems?

1	2	3	4	5
Not Very Seriously				Very Seriously

CHOOSE A NUMBER FROM THE SCALE ABOVE THAT SHOWS HOW SERIOUSLY YOU TREAT EACH PROBLEM, AND WRITE THE NUMBER (1-5) IN THE SPACE BESIDE EACH PROBLEM.

___Drug and alcohol abuse
___Living Wage
___Early Education
___Access to Health Care
___Child abuse
___Teen pregnancy
___K-12 Education
___Environmental Issues
___Transportation
___Privacy Issues

Method: Rolling Sample Survey[4]

An evaluation of the "Voluntary Ozone Action Program" in Atlanta, Georgia, focused on assessing changes in awareness about and the importance of ground-level ozone in the Atlanta region related to a public information campaign. Rolling sample surveys (daily tracking surveys) were the primary assessment method. These surveys obtained measures from an independent sample of 32 residents each day, and, once individuals were interviewed, they were not interviewed again. Individuals were asked 30 behavioral, awareness, and attitudinal items including: the importance of five issues from a personal and community standpoint, awareness of ozone alerts, perceived efficacy and perceived personal health risks.

Results showed that ozone alerts increased the amount of awareness about ground-level ozone. Those that were more aware of ozone said the issue was more important to them. Greater exposure to media messages affected

[4] Coffman, J. (2003). Lessons in Evaluating Communications Campaigns: Five Case Studies. Harvard Family Research Project. Retrieved May 31, 2006, from http://www.gse.harvard.edu/hfrp/pubs/onlinepubs/lessons/stop.html. Pages 19-24.

awareness, and articles on the front page increased awareness, but not articles in the Metro page.

Though this evaluation was sophisticated and resource-intensive, its implementation did provide definitive findings about the campaign's effectiveness. The rolling sample survey methodology, adapted from political polling methods, was useful because it was possible to know which days were ozone alert days and it didn't require repeated surveys with the same people or asking people to remember or predict behavior. They also provided continuous measurement of public opinion over time, which can help test messages and provide ongoing learning.

While this technique won't be within the capacity of most individual agencies to conduct, it is a good example of how a funder investing in an intensive or more broadly focused communications campaign could support evaluation of outcomes related to that effort.

Other Evaluative Considerations

In addition to assessing the changes in awareness, values and attitudes, funders and grantees may also want to consider the contextual factors that may impact the effectiveness of their efforts. This can include *process evaluation* (understanding the implementation of the strategies and efforts) or *formative evaluation* of the messaging itself (is the message/strategy likely to reach the intended audiences and have potential reaching intended objectives). There are a number of organizations who can help assess and test messages and communications materials. For example, organizations who have adopted the Frameworks Institute's Strategic Framing Analysis for communications could use Frameworks' checklist to ensure utilization of the Frameworks strategies in their message development.[5] Evaluating factors such as relevance, resonance of message and alignment of messages with other societal values can be an important step toward achieving social norm changes.

OUTCOME AREA: STRENGTHENED ORGANIZATIONAL CAPACITY

One key component of successful advocacy work is having a strong organization that is able to respond to conditions and opportunities nimbly and effectively. Organizational capacities include the skill set, staffing and leadership, organizational structure and systems, finances, and strategic planning among non-profit organizations and formal coalitions that plan and carry out advocacy and policy work. The development of these core capacities is critical organizational conditions to the ability to implement and sustain advocacy and policy change efforts. The tools for this area include several different self-assessments that allow agencies to identify strengths and areas for growth while providing measures to observe change over time. The unit of analysis for evaluating this outcome area includes advocacy or non-profit organizations and coalitions. Sample outcomes include:

[5] Bales, S.N. (2002). Framing Public Issues. Washington, D.C.: FrameWorks Institute. Retrieved 2006, from http://www.frameworksinstitute.org/strategicanalysis/FramingPublicIssuesfinal.pdf, pages 33-35

- Improved organizational capacity of organizations involved with advocacy and policy work (e.g., management, strategic abilities, effectiveness, etc.)

- Increased ability of organization to identify policy change process.

Self Assessment Tool: Alliance for Justice Advocacy Capacity Assessment

Alliance for Justice, in collaboration with The George Gund Foundation, developed new advocacy evaluation and advocacy capacity assessment tools for foundations to use with grantees and prospective grantees. They were assisted in this endeavor by Mosaica: The Center for Nonprofit Development and Pluralism. *Build Your Advocacy Grantmaking: Advocacy Evaluation Tool & Advocacy Capacity Assessment Tool* uses a pragmatic approach to evaluation and is designed to assist both private and public foundations, as well as grantees, that are seeking better evaluation methods.[6]

Foundations can use the *Advocacy Capacity Assessment Tool* to assess the advocacy capacity of a prospective or current grantee, work with the grantee to develop a plan for building its advocacy capacity, or serve as a catalyst for discussion among the foundation's staff or with grantees. The 9 indicators in this tool, divided into three categories—organizational, relationship, and knowledge and skills, describe capacities to which an organization should aspire if it wants to institutionalize its advocacy work. However, no one organization is expected to do everything.

[6] To order *Build Your Advocacy Grantmaking: Advocacy Evaluation Tool & Advocacy Capacity Assessment Tool*, e-mail fai@afj.org or call 1-866-675-6229 or 202-822-6070, or visit www.allianceforjustice.org. If you would like to discuss this model, please contact Marcia Egbert (megbert@gundfdn.org) at The George Gund Foundation or Susan Hoechstetter (shoech@afj.org) at Alliance for Justice.

Excerpt from Advocacy Capacity Assessment Tool[7]

Advocacy Agenda: The organization has a clearly defined agenda in place to guide advocacy activities. The agenda may be organization-wide or project-specific and may cover one year or multiple years.

Measures:

STATEMENT IS:	True, and functioning well	True, but needs strengthening	Not True, but in Process	Not True, but under consideration	Not True and Not Desired
1. The organization has a written agenda, adopted by its board, that identifies the organization's priorities (such as issue priorities) for legislative and other types of advocacy.	☐	☐	☐	☐	☐
2. The agenda is based on research and analysis, including an analysis of constituent needs, the impact of current policies, and the policy environment.	☐	☐	☐	☐	☐

Self-Assessment: Spider Diagram[8],[9]:

The "Spider Diagram" is another way for organizations to assess their competencies for advocacy work over time, though this method provides an opportunity for representing a capacity assessment graphically. Program staff can consider aspects of capacity for advocacy work and decide how they collectively would place themselves, or this method could be facilitated by an external facilitator. Organizations can assess their level for seven dimensions within the diagram on a scale of 0-3.

0=undesirable level calling for a large amount of improvement

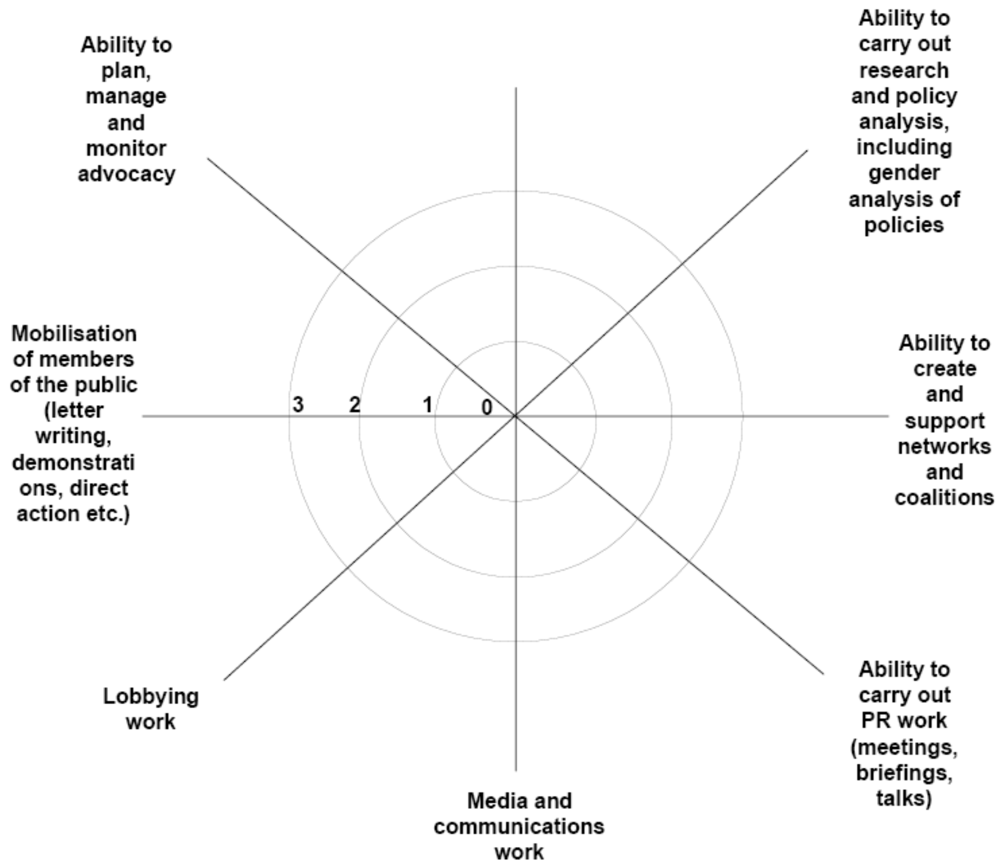
1=poor level having much room for improvement

2=good situation with room for improvement

3=ideal situation with little room for improvement

[7] Alliance for Justice. (2005). Build Your Advocacy Grantmaking: Advocacy Capacity Assessment Tool. Washington, D.C.: Alliance for Justice
[8] Chapman, J., & Wameyo A., op.cit.
[9] Gosling, L. and Edwards, M. (1995) Toolkits: A practical guide to non-profit monitoring and evaluation. Save the Children Fund

Spider Diagram for Capacity Building Advocacy



Reference information: Gosling, L. and Edwards, M. (1995) Toolkits: A practical guide to non-profit monitoring and evaluation. Save the Children Fund.

Self-Assessment: KIDS COUNT Self-Assessment Tool

Placeholder (Seeking permission from Innonet)

OUTCOME AREA: STRENGTHENED ALLIANCES

The McKinsey Capacity Assessment Grid is another tool designed to help nonprofit organizations assess their organizational capacity across seven elements. While this provides a good overall assessment of a non-profit, a few areas have particular relevance to capacities related to policy and advocacy work. Changes over time could be assessed by having organization representatives complete the assessment at two time points or by assessing themselves as a retrospective pre for a certain time point in the past. The full assessment is available at: http://www.venturepp.org/learning/reports/capacity/assessment.pdf. The developers also note that the tool is a starting point for assessing capacity and encourage users to adapt this tool to meet their particular capacity assessment needs.

Partnership development is often an important activity for policy and advocacy efforts. Changes in alliances include the level of coordination, collaboration and alignment among community and system partners. These structural changes in communities and institutions have become essential forces in presenting common messages, pursuit of common goals, enforcement of policy changes and insuring the protection of policy 'wins" in the event that they are threatened. Outcomes related to partnership development include:

- Increased number of partners supporting an issue.
- Increased levels of collaboration between partners.
- Improved alignment of partnership efforts.
- Increased strategic breadth or diversity of partnerships.

The units of analysis for alliance outcomes include individuals, groups, organizations and/or institutions. Choosing the correct unit will depend on the target of these efforts. In other words, are advocates hoping to partner with other organizations, such as a union or affinity group, or individuals, such as key business leaders?

Assessment Framework: Intensity of Integration Tracking Form

Organizations often need to work with multiple partners at varying levels of collaboration to accomplish policy goals. Some alliances may involve networking and information sharing, while others may develop to involve joint planning or other more intense levels of collaboration. The following framework provides a continuum of levels of integration that organizations may develop.

Intensity of Integration Continuum[10]

Informal → Formal

1	2	3	4	5	6	7	8	9	10
Information Sharing and Communication		*Cooperation and Coordination*		*Collaboration*		*Consolidation*		*Integration*	

Level	**Activities**
Information Sharing and Communication	▪ Talk with one another ▪ Willingness to help on ad hoc basis ▪ Share information
Cooperation and Coordination	▪ Do joint planning on specific program components ▪ Joint staff meetings ▪ Factor in what is happening on other side when operating program [campaigns]
Collaboration	▪ Informal/Formal joint planning ▪ Joint funding ▪ Written MOUs or interagency agreements ▪ Effort to share funding/services
Consolidation	▪ Formalized joint planning ▪ Regular meetings of key players ▪ Cross-training of staff ▪ Designated planning council
Integration	▪ Shared funding of key positions (boundary-spanners) ▪ Joint budget development ▪ Pooled funding

Organizations should consider specific dimensions for which they are assessing the level of integration. What are the goals of the partnership? For example, organizations may assess their level of integration with other organizations specifically for:

- A particular campaign focus area (e.g., gun control, land protection, etc.)
- A specific campaign (e.g., get out the vote campaign, a specific initiative, etc.)

[10] Adapted from Konrad, E. (1996) A multidimensional framework for conceptualizing human services integration initiative, 69, P. 5-19.

♦

Partnership Integration Tracking Form

Partner: ____

Date: ____

Baseline level of integration (1-10): ____________________________________

Notes: Why was this level chosen? What are specific examples that reflect this relationship? ____

____

____

Follow-up Date: ____

Level of integration (1-10):

Notes: Why was this level chosen? What are specific examples that reflect this relationship? ____

____

____

METHODOLOGICAL NOTE: Organizations interested in tracking the diversity of their alliances may also want to look at tools in the following outcome area related to strengthening the base of support.

Other Evaluative Considerations

In addition to assessing outcomes related to collaboration levels, some groups may also benefit from learning more about the functioning of their partnerships. There are a number of easy-to-use partnership assessments available that assess how well a partnership's collaborative process is working, looking at the "synergy" of a partnership, for example. The Partnership Self-Assessment Tool (www.cacsh.org) is one example of a tool whose measures are applicable to partnerships focusing on any kind of goal and to partnerships that bring together all combinations of people and organizations.

OUTCOME AREA: STRENGTHENED BASE OF SUPPORT

Strengthened base of support outcomes include the grassroots, leadership and institutional support for particular policy changes. The breadth and depth of support among the general public, interest groups and opinion leaders for particular issues provides a major structural condition for supporting changes in policies. Whether your particular paradigm for achieving community-level change focuses on engaging a broad base of community members or a few key influentials, it may be useful to assess the breadth and depth of support among your target audience throughout a campaign Outcomes related to this area include:

- Increased public involvement in an issue

- Increased level of actions taken by champions of an issue

- Increased voter registration
- Changes in voter behavior
- Increased breadth of partners supporting an issue
- Increased media coverage
- Increased visibility of the campaign message

Like partnership outcomes, the unit of analysis for change encompasses individuals, groups, organizations or institutions. The focus of evaluation will be dependent on the type of activities undertaken and the target of those efforts.

Tools for Measuring Public Support

Logs: Increased public involvement in an issue

Simple logs can provide useful information about involvement in an issue by looking at participation over time. These could track:

- Levels of organizations and activism at the grassroots level[11]
  - number of groups working on the issue
  - membership levels
  - levels of activity around the issue.
- Grassroots involvement
  - #/% voters registered
  - % turnout at elections
  - % vote for priority issue
- Civic Engagement
  - Attendance at events

Log: Increased engagement of champions

Born Learning, a public engagement campaign developed by United Way of America and United Way Success By 6 in partnership with the Ad Council, Civitas and Families and Work Institute, helps parents, grandparents and caregivers explore ways to turn everyday moments into fun learning opportunities for young children.[12] The Born Learning campaign also includes a mobilization component for community early learning efforts. As part of the Born Learning Washington campaign, communities implementing the campaign locally are tracking the number of champions engaged, as well as the actions these champions undertake.

[11] Bruner, C. (2006). State Baseline Information for the Build Initiative. Des Moines, Iowa: Child & Family Policy Center for the Build Initiative
[12] Born Learning (2006). Born Learning.Org: About Us. Location – information forthcoming. BUILD. Retrieved June 9, 2006, from www.bornlearning.org

Campaign Champions Data Collection Tool[13]

Instructions: Please indicate champions with whom Born Learning has engaged each month and who have taken actions (e.g., people engaged from diverse segments of the community to advocate on behalf of early education.)

a. Champions are individuals who take actions to advance the public will outcomes.
b. Examples of actions taken are: written or verbal communication, convening of meetings, policy proposals, coalition development. Actions taken can be small steps or major developments and they reflect initiation on the part of a champion for early education.

Name of Champion	Affiliation	Action Taken	Date

METHODOLOGICAL NOTE: As the campaign begins, communities are collecting open-ended qualitative data for the types of actions taken. Over time, Born Learning Washington will likely develop standard categories for both the types of champions engaged (e.g., business, faith-based, K-12) and the types of actions champions typically take (e.g., convening meetings, speaking at public events, writing letters to the editor, etc.) based on the data collected. With these data, they will be able to assess the change in number of active champions engaged and increases in the level of support based on their documented actions.

Survey: Increased Public Involvement

The Children's Alliance, an advocacy organization in Seattle, Washington, issues Children's Action Alerts to its members via email, mail and fax. In 1999, the Children's Alliance decided to measure the effectiveness of this strategy by surveying its membership about actions taken, as well as asking additional questions for improving their alerts.

DON'T HAVE INSTRUMENT (IN VOICES FOR CHILDREN GREAT IDEA PUBLICATION). Are there other examples?

Self-Assessment: Checklist for Mobilization and Advocacy

The Build Initiative is a multi-state partnership that helps states construct a coordinated system of programs, policies and services that responds to the needs of young children and their families. It does this by supporting those who set policies, provide services, and advocate for children from birth through age five so that our youngest children are safe, healthy, eager to learn, and ready to succeed in school. Build serves as a catalyst for change and a national resource

[13] Bruner, C. (2005). Build Initiative Self-Assessment Checklist for Mobilization and Advocacy. Des Moines, Iowa: Child & Family Policy Center for the Build Initiative

on early learning.[14] One goal for Build states is to develop "effective champions for building an early learning system across a range of different constituent bases that go well beyond those who are part of the provider community. These champions promote early learning system building to political leaders and within their own sphere of influence." [15]

As part of its overall evaluation, Build states received a self-assessment checklist to use in assessing their progress in building an early learning system. The self-assessment is intended to help states better understand where they are and what areas and actions they should focus on. The following tool sample shows the assessment of the mobilization and advocacy efforts.

Though the sample partners may be specific to an early learning campaign, this list could be modified to include the appropriate partners or potential champions for any advocacy effort.

[14] Early Childhood Funders' Collaborative (2002). BUILD: About Build. Portland, Maine: BUILD. Retrieved June 9, 2006, from http://www.buildinitiative.org/aboutbuild.html
[15] Bruner. (2005) State Baseline, op. cit.

Excerpt from Build Initiative Self-Assessment Checklist[16]

For each of the potential champions identified, mark a number, from 1-5, that best represents where they are today in regards to mobilization and advocacy activities. If desired, also check those areas where Build and the state have made substantial progress since Build began.

Powerful friends abound and are willing and frequent spokespersons for systems building, willingly using political capital to gain support from policy makers and within their own constituencies		*Some new champions have been identified and are taking some public steps to support systems building, but not generally at the top of their agendas nor used to enlist others to be supporters*	*Limited champions with other interest groups not seeing any relevance to their work and as a possible competing demand on policy resources and action*		*Substantial progress has been made (check for yes)*
1	*2*	*3*	*4*	*5*	☐
Corporate leaders and economic development heads					
1	*2*	*3*	*4*	*5*	☐
Local businesses and chambers of commerce					
1	*2*	*3*	*4*	*5*	☐
Law enforcement and corrections					
1	*2*	*3*	*4*	*5*	☐
Faith communities					
1	*2*	*3*	*4*	*5*	☐
Seniors					
1	*2*	*3*	*4*	*5*	☐
Doctors and leaders in health care					
1	*2*	*3*	*4*	*5*	☐
School superintendents					
1	*2*	*3*	*4*	*5*	☐

[16] Bruner, C. (2005). Build Initiative Self-Assessment, op. cit.

Elementary school principals and teachers

1	2	3	4	5	☐

Parent organizations

1	2	3	4	5	☐

Based upon the answers to the above, complete the overview statements for this element:

Powerful friends abound and are willing and frequent spokespersons for systems building, willingly using political capital to gain support from policy makers and within their own constituencies		*Some new champions have been identified and are taking some public steps to support systems building, but not generally at the top of their agendas nor used to enlist others to be supporters*		*Limited champions with other interest groups not seeing any relevance to their work and as a possible competing demand on policy resources and action*	*Substantial progress has been made (check for yes)*
1	2	3	4	5	☐

After completing this section, what specific actions do you think could be taken by Build in this area? Please highlight any actions that should represent priority actions.

____

____

____

____

____

METHODOLOGICAL NOTE: The self-assessment can be used by a small group of stakeholders or by a broad collaborative. It can also be completed individually; compiled results can identify areas of agreement and concern among different stakeholders. The method in which the data were collected needs to be the same at each time point to have comparable data over time.

Tools for Measuring Media Support

Media support can be an integral part of strengthening the base of support for an issue or campaign. Because there are a number of data collection tools and methods that are specific to measuring changes within media coverage, they are grouped together below.

Media Tracking Form: Increased media coverage

KIDS COUNT grantees track their ability to disseminate messages and gain support for important issues that affect children and families. This tool, developed by Innovation Network for the Annie E. Casey Foundation, provides an easy way for organizations to systematically track how effectively and accurately KIDS COUNT projects receive coverage in the media.

Excerpts from KIDS COUNT Media Tracking Form[17]

Placeholder: Seeking permission from Innonet

METHOD: Developing Composite News Scores[18]

While many advocacy organizations report the number of times articles are published about a topic, the gross number of publications is not necessarily illuminating about the likely impact of these articles. To aid in analysis and come up with a more meaningful measure of media coverage, evaluators of the Community Trials Project, a five-year comprehensive prevention strategy to reduce the incidence of alcohol-related risk factors and outcomes, developed a composite news score that compiled data for a community on:

- Total number of stories
- Total area or time allotted to each story
- Total number of news stories above average length
- Total stories with pictures and graphics
- Total stories on the front page or in the local TV news program

Articles were selected from the first two sections of daily newspapers, the editorials and letters to the editor. Composite scores were calculated by month and by community. In this particular evaluation, participating organizations also tracked their media advocacy activities and a chronology was created tracking their activities and the changes in media coverage over time.

Log: Increased Visibility

As part of the awareness campaign of Born Learning Washington, local communities are tracking the amount of media visibility they likely contributed to, either by paying for media or earning media. By tracking the amount of campaign-generated media, communities can assess changes in the visibility of the issue that they can likely attribute to their efforts.

[17] Innovation Network, Inc., op. cit.
[18] Coffman, J. (2003). Lessons in Evaluating Communications Campaigns: Five Case Studies. Harvard Family Research Project. Retrieved May 31, 2006, from http://www.gse.harvard.edu/hfrp/pubs/onlinepubs/lessons/stop.html, page 28.

Born Learning Washington Monthly Media Tracking Form[19]

Name of Media Date(s)	Type of Media (circle)	Type of Placement	Choose one:	# of times media type ran
	□ TV/ network □ TV / cable □ Radio □ Print □ Other:	□ PSA □ News story □ Programming (e.g., topic of call-in show) □ Op-Ed □ Letter to the Editor □ Other: Details about media (length of story, format, audience, etc.):	□ Earned (e.g., story picked up based on press release) □ Paid (e.g., donated PSA or paid ads) □ Placed (e.g., placed in newsletter by partner) □ Other (please describe)	

METHODOLOGICAL NOTE: This log could also capture more detailed information on factors that might impact the effects of media similar to that of the Composite News Score approach. These might data on time of day, location of media (e.g., section of paper, location of billboard, etc.) in addition to type and number of times ran.

Other Evaluative Considerations

There is value to measuring short-term outcomes. However, it is important to caution against overestimating the impact of the work by solely focusing on short-term changes, particularly for long-term, ongoing efforts.[20] Having strong theoretical underpinnings through the theory of change development can help illuminate how change is expected to occur and which short-term outcomes are most important to track and measure. In addition, it may be important to consider evaluating the overall theory. See ** for an example of this type of evaluation.

OUTCOME AREA: IMPROVED POLICIES

While the previous outcomes and data collection tools and methods have focused on the work that precedes policy changes, policy and advocacy work does not end with a proposed bill. The outcome area of improving policies includes the stages of policy change in the public policy arena: policy development, adoption, implementation and funding. In the past, this outcome has frequently been the measure of success of advocacy and policy work. It is

[19] Reisman, J. (2006). Born Learning Washington Campaign Data Collection Form 3 – Campaign Champions. Seattle, Washington: Organizational Research Services.
[20] Salmon, C.T.; Post, L.A. & Christense, R.E. (2003). Mobilizing Public Will for Social Change. Lansing, Michigan: Michigan State University, page 34; Coffman, J., op.cit., page 37.

certainly the major focus of such work but is rarely achieved without changes in the preconditions to policy change identified in the other outcome categories. In addition, a simple “yes/no” on whether a policy was passed or is not the endpoint. The passage of a desired policy may still necessitate continued work to ensure adequate funding and implementation through assessment, surveillance and monitoring. The unit of analysis for this outcome area can be policies themselves or changes among policymakers, administrators, or other planners. Outcomes in this area include:

- Development of Improved Policy
- Adoption of Improved Policy
- Implementation of Improved Policy
- Enforcement of Improved Policy

LOG: LEGISLATIVE PROCESS LOG

A simple log to track all related legislative work and changes could be used to monitor changes in sponsors and votes for and against a specific piece of legislation.

Date	
Priority area	
Law/legislation	
Summary	
Key partners	
Legislative sponsors	
Votes for	
Votes against	
Funded?	
Comments	
Next steps	

LOG: POLICY TRACKING ANALYSIS

A policy tracking system can document the types of policies developed and their path to adoption or rejection. Data from the tracking system can be used to describe how successful policy strategies were and assess changes to policies over time. This log tracks desired policy components and whether a policy exceeds, meets, partially meets or doesn't meet these components.[21]

This particular example tracks adoption of school policies related to healthy foods and physical activity. However, it could be modified to contain the desired components of any type of policy for different levels of jurisdiction (e.g., city, county, state, etc.)

[21] Boyle, M.; Purciel, M.; Craypo, L.; Stone-Francisco, S.; & Samuels, S.E. (2004). National Evaluation & Measurement Meeting on School Nutrition and Physical Activity Policies. Oakland, California: Prepared by Samuels & Associates. Appendix A, page 40

Excerpt from Policy Tracking Analysis Tool[22]

Exceeds (E); **M**eets (M); **P**artially **M**eets (PM) **D**oesn't **M**eet (DM)	Site A	Site B
A. POLICY COMPONENTS		
I. COMPETITIVE FOODS & BEVERAGES		
Access to "healthy" foods and beverages, including explicit nutrient and quality standards:		
An individual food item sold to a student during morning or afternoon breaks must meet specific nutritional standards:		
Water, milk & 100% fruit juices (or fruit-based drinks with no less than 50% fruit juice & no added sweeteners) are the only beverages that can be sold to students, *regardless of time of day*		
Limit access to "unhealthy" foods and beverages :		
Food items that don't meet other SB19 criteria can be sold by pupils at fundraising events, if sales take place(*): • off school premises OR • at least 1/2 hour after the end of the school day.		
Encourage fundraisers that promote good health habits and discourage fundraisers that promote unhealthy foods (2)		
III. ACCESS TO PHYSICAL EDUCATION/PHYSICAL ACTIVITY		
Improve the quality of physical education curricula		
Enforce existing physical education requirements		
V. ENVIRONMENT CONDUCIVE TO HEALTHY EATING AND PHYSICAL ACTIVITY		
Ensure pupils a minimum of 30 minutes to eat lunch and 20 minutes to eat breakfast, when provided. (10)		
VII. STAKEHOLDER & STAFF EDUCATION (i.e., professional development)		
Increase training of physical education teachers.		
Ensure regular professional development for food services staff.		
VIII. FINANCIAL MECHANISMS		
Alter the economic structures in place to encourage healthy eating by pupils and reduce dependency on generating profits for the school from the sale of unhealthy foods. (15)		
Develop a financing plan to implement the policies		
B. POLICY PROCESS (e.g., development, implementation, monitoring, and enforcement)		
Child Nutrition & Physical Activity Advisory Committee (CNPAAC) membership should include, but not limited to, school district governing board members, school administrators, food service staff, staff, parents, pupils, physical and health education teachers, dieticians, health care professionals, and interested community members.		
Child Nutrition & Physical Activity Advisory Committee policy development process: a) Convene committee b) Hold at least 1 public hearing to develop policies c) Develop and recommend to the governing board of the school for its adoption school district policies on nutrition and PA including but not limited to #1-18.		**a)**

[22] Samuels & Associates. (2004). SB19 Policy Tracking Analysis. Oakland, California: Samuels & Associates. Retrieved June 6, 2006, from personal communication

SURVEY: ASSESSING NUMBER AND TYPE OF POLICIES

The University of Kentucky School of Public Health wanted to assess workplace tobacco use prevention and cessation policies in manufacturing facilities and explore factors associated with tobacco policies and practices in the tobacco-growing state of Kentucky. Through a phone survey, they assessed the number and type of tobacco policies, as well as tobacco prevention education, in manufacturing companies in urban and rural facilities.

This survey could be modified to assess other types of policies that organizations might have. In addition, it could be used over time to see if policies have changed for individual organizations or at a population-level. Indicators of improved policies could include the number of companies with policies and/or the number of policies that meet elements of effective policy that have been identified based on a review of research.

Workplace Tobacco Policy Survey[23]

1) Does your company have a written smoking policy?
2) Are employees permitted to smoke inside your company? If yes,
   - Is indoor smoking restricted to a specified indoor area?
   - Where is indoor smoking permitted?
   - Is smoking permitted during work hours?
3) Are "No Smoking" signs posted at your company?
4) Do employees smoke in company vehicles?
5) To what extent do employees comply with the existing smoking policy?
6) Who enforces the smoking policy for employees?
7) What action is taken when an employee violates the smoking policy?
8) Does your company's health plan reimburse for smoking cessation treatment?
9) Does your company offer tobacco-use prevention education? If yes, what type?
10) Does your company offer resources to employees who want to quit using tobacco products? If yes, what resources are available?
11) Are cigarettes sold on company property?
12) How satisfied are you with your current smoking policy?
13) Are you contemplating changes in your smoking policy?

METHODOLOGICAL NOTE: This or similar surveys could also be used as a needs assessment or as a way to generate data for other efforts, such as policy briefs or white papers. To use it as an outcome measurement tool, it would need to be administered at two time points or edited to ask people retrospective questions about changes over time.

LOG: MONITORING POLICY IMPLEMENTATION

In January 2006, Texas began piloting a new system for signing up for or renewing public benefits, including Food Stamps, Children's Medicaid/CHIP and TANF. Under the new system, most clients would need to apply for benefits through a call center or internet application rather than through in-person visits to a local state office. Though the implementation of the new system is being

[23] Hahn, E.J.; Rayens, M.K.; Okoli, C.T.C.; Love, K.; & Sanggil, K. (2004). Tobacco Use Prevention and Cessation Policies in Manufacturing Facilities in the Tobacco-Growing State of Kentucky. American Journal of Health Promotion, Inc. 18. 3, 225-231

monitored by the state and the USDA (the federal agency with food stamp oversight), the Center for Public Policy Priorities (CPPP) was concerned that the new system and monitoring plan neglected to pay adequate attention to the challenges the new system would present for vulnerable populations. In addition, neither current monitoring plan looks closely at "procedural denials," instances when an application is denied before the state can collect enough information to determine eligibility, such as when someone may fail to show for a required interview.

To help non-profits and community-based organizations play a role in monitoring the policy during an initial two-county pilot, CPPP provided information on who to contact for individuals having problems signing up for benefits. They also developed a standardized tracking form to assist in monitoring and sharing clients' experiences. Though CPPP is not receiving information on all issues reported to the state, they have been able to use the information from community-based organizations and individuals to evaluate the implementation of the new policy and have reported common problems and issues to legislators and administrators. This formal documentation also provides a record that could be used in future actions or litigation if needed.

Policy Tracking Form[24]

EXAMPLE—NOT A REAL CASE

Date Logged	March 2
Agency/CBO (if applicable)	St. John's Food Pantry
Information about client (if available AND client gives permission to share)	Mary Jones, Lives in Wichita Falls, HHSC office located on 100 State St.
Benefits sought (if general system or customer service problem, please say so)	Food Stamps
Description of the problem/complaint	Client submitted an online application for food stamps 14 days ago and hasn't heard back. When she called 211, the call center had no record of her application; neither did her local office. Local office told her to contact call center fro an new application
Date(s) of problem	Applied on Jan 20, 2006
Impact on client or your agency	Came to our food pantry for help in feeding her two children
Where did it occur? (local office, 211, call center, Internet—be specific)	1. Submitted application online at www.yourtexasbeneftis.com 2. call center staff (spoke with Jane Doe) had no record 3. Local office staff (spoke with John Doe in Wichita Falls office) had no record
Response from state/contractor/ federal official List name(s) of any person(s) you spoke to and dates you spoke to them	Contacted MaryLou Franks on Mar 1 and reported problem. She referred me to Bill Dowdy who said he would research case. Email to Ms. Franks is attached
Any client file an appeal? (If so, give date of appeal)	No
Was problem resolved? If so, how and when?	No

Note: the original format of this report log is an Excel spreadsheet. For formatting purposes, the orientation was changed from horizontal to vertical for this manual.

METHODOLOGICAL NOTE: This tool could be used to measure other outcomes as well. For example, an organization could track the number of different community groups and agencies that reported problems over time to assess changes in levels of partnerships or for strengthened base of support.

[24] Hagert, C. (2006). Problems Enrolling in Public Benefits? Retrieved May 2, 2006, from http://ww.cppp.org/research.php?aid=501

ENVIRONMENTAL ASSESSMENTS: CHANGES IN PHYSICAL ENVIRONMENTS[25]

Environmental assessments, including use of GIS mapping, can also be used for evaluation of policies. Any policies that are intended to make changes to the physical environment—including parks, sidewalks, retail outlets, land preservations, availability of other community resources—could use these types of assessments to track implementation of policies or to provide watchdog data on the protection of certain assets. Environmental assessments range from observation tools that can be completed by volunteers or staff to more complex development of geocoded maps that include relevant local factors. Here are a few specific examples of environmental assessments.

Walkability Checklist/Bikeability Checklist

A number of different types of groups—public health, environmental and transportation planners—may focus on policies to incentivize walking and bicycling for community members. There are two ready-made assessments, the Walkability Checklist (www.walkinginfo.org) and the Bikeability Checklist (www.bikinginfo.org), that have been made available by the Pedestrian and Bicycle Information Center. These assessments include checklists of five to seven questions meant to be completed by individual community members that result in a community rating. In addition, they include suggestions for community members for improving their community based on the problems they identified.

Alcohol Promotion Billboard Survey Form

Alcohol advertising exposes young people to alcohol messages. Research has shown that long-term exposure to advertising and promotional activities increases the likelihood that children will drink. To evaluate the implementation of policies that restrict alcohol advertising, community members can record changes in the amount and/or location of alcohol advertising.

[25] Join Together. (2005). How do we know we are making a difference?: Availability: Alcohol Advertising. Boston, Massachusetts: Boston University School of Public Health. Retrieved August 1, 2006, from http://www.indicatorshandbook.org/indicators/availability/advertising.html

SAMPLE BILLBOARD SURVEY FORM[26]

Address of Billboard:_____________________________

City:_____________________

What Company is being advertised:____________________________________

Type of sign:
__Junior poster (75 sq ft)
__Poster panel (300 sq ft)
__Painted bulletin (672 sq ft)

Area:
__Industrial
__Mixed residential / commercial
__Central business district
__Strip commercial

Neighborhood:
__Residential
__Commercial
__Historic district

Neighborhood is predominately:
__Black
__Asian
__Latino
__White
__Other

Can you see any of the following:
__Residences
__Parks
__Historic sites
__Hospitals
__Churches
__Schools

The ad is for:
__Wine
__Beer
__Liquor / spirits
__Malt liquor

Does the billboard ad contain:
__Animals
__Alcohol product
__Cartoons
__Logo of the alcohol company
__People
__Minorities

If the ad shows people, estimate their age:
__Under 18
__18 to 20
__Over 21

Beyond drinking, what does the billboard promote?

Photo taken of the billboard? __Yes (If yes, attach to the survey) __No

Please record the advertising copy on the billboard:

How many other billboards are visible nearby?____

Total number of billboards in an eight block area:____

Total number of alcohol billboards in this eight block area:____

Your Name:_______________________________ **Date:**__________

Your age:__________

[26] FACE - Resources, Training & Action on Alcohol Issues. (2000). Community Action Kits. Clare, Michigan: FACE - Resources, Training & Action on Alcohol Issues. Retrieved August 1, 2006, from http://faceproject.org/freereports/Reports/Alcohol-Billboard-CAK.pdf

Mapping Environmental Factors Related to Diabetes
The California Endowment funded the development and implementation of culturally appropriate programs to assist at-risk groups to better manage and prevent chronic diseases and conditions, including diabetes.[27] The project recognized that specific environmental stressors exacerbate the experience of diabetes, as well as its prevention, treatment and management.[28] In certain communities, there is abundant access to unhealthy foods and a lack of access to parks and recreational areas. To evaluate the environmental factors that influence residents' health behaviors, evaluators developed local maps using publicly available data, tracking locations of liquor/convenience stores, fast-food outlets, farmer's markets, community gardens, major medical resources, and parks & recreation areas.[29]

Though more time- and resource-intensive than the other assessments noted above, GIS mapping technology can provide rich information on community factors or physical environments that might be changed through policy decisions. In this particular case, changes in the local environment could be tracked over time to see if resources increase and unhealthy factors decrease in the long-term. In other cases, it might be important to ensure that resources are maintained (e.g., environmental protection advocacy).

OUTCOME AREA: CHANGES IN IMPACT

Organizations advocate for policy change to ultimately impact lives and conditions through policy implementation. This is generally a longer-term goal, though the time horizon for these impacts varies depending on the level of policy change being considered. While state level policies may take many years, changes in policies and their resulting impacts on organizations may be more realistic in a shorter period of time. In both cases, however, the ultimate success of impacts on individuals or an environment are a result of successful policy implementation, funding, and potentially some direct interventions—not policy change alone. The unit of analysis for this outcome area includes populations or ecosystems.

Because numerous resources on evaluation of changes in impact are more readily available to organizations and the myriad types of impacts that could be made would make it difficult to provide examples with wide applicability, this manual will not provide specific tools in this area. Rather, we will provide some examples of secondary data sources for population-level data that might be relevant for assessing impacts of policies over the long term.

[27] Samuels, Sarah E.; Stone-Francisco, S. & Cardoza, Clayson Z. (2004). An Ethnographic Case Study Synthesis & Mapping Environmental Factors Related to Diabetes in six Ethnics Communities. In Samuels & Associates, The Social & Environmental Experience of Diabetes: Implications for Diabetes Prevention, Management and Treatment Programs, a Series of Case Studies. Woodland Hills: The California Endowment. Retrieved June 06, 2006, from http://www.google.com/u/calendow?q=Synthesis&domains=calendow.org&sitesearch=calendow.org, page 1.
[28] Ibid, page 6
[29] Ibid, pages 8-9.

There are a number of indicator initiatives currently underway that could prove useful to advocacy organizations. Indicators are available for different focus areas and at different levels of aggregation (e.g., neighborhood, county, state, national). Here are just a few examples:

- KIDS COUNT: www.kidscount.org
- National School Readiness Core Indicators: www.gettingready.org
- Healthy People 2010: www.healthypeople.gov
- Childstats.gov
- Childtrendsdatabank.org
- National Neighborhood Indicators Project: www.urban.org/nnip

Other Evaluative Considerations

While population-level measures provide general information on the well-being of children, families, environments and communities, it is difficult to ascertain what impact any one policy may have had based on these figures. In addition, external factors could enhance or hinder results meaning that population-level data changes may have little bearing on the effectiveness of a given policy. Understanding the true impact of a policy will necessitate more detailed exploration into the direct impact on recipients, contextual factors, degree of funding and implementation of intended policy and success of implementation of direct services. However, population data can give some indication of population status prior to new policies and initiatives that can be periodically updated.[30]

TOOLS AND METHODS FOR OTHER EVALUATION DESIGNS

As stated in previous sections, evaluation design decisions should be made based on a number of factors: the purpose and audience of the evaluation, the nature of the grant awarded (e.g., scope, scale, size, capacity), and the types of questions the evaluation hopes to address.

The previous tools were geared toward collecting data for specific outcome categories. However, there are other approaches that can be considered:

- Evaluation of Strategic Process;
- Short-Term Incremental Objectives; or
- Case Study Documentation.

[30] Weiss, C.H. 1999. Nothing as Practical as Good Theory: Exploring Theory-Based Evaluation for Comprehensive Community Initiatives for Children and Families. In New Approaches to Evaluating Community-Wide Initiatives Volume 1: Concepts, Methods, and Contexts. Edited by James P. Connell, Anne C. Kubisch, Lisbeth B. Schorr, and Carol H. Weiss, page 85.

This section will provide tools and methods that can be used for these evaluation designs. Some of these approaches can be used in tandem with measurement of core outcome areas or on their own. See Section 2 for more information about the applicability and benefits of these design options.

EVALUATION OF STRATEGIC PROGRESS

Because policy and advocacy work exist in complex and dynamic systems in which myriad factors can contribute to or hinder efforts, process evaluation will continue to be extremely valuable for exploring and documenting context, unexpected developments and synergies. Process evaluation can help organizations, funders and grantees learn more about the process and answer core questions about how change occurs, what needs to change, what's been learned based on recent experiences, and what contextual factors impacted the work.

METHOD: APPRECIATIVE INQUIRY APPROACH TO PROCESS EVALUATION

Appreciative Inquiry (AI) can be best described as a new paradigm in how we approach change in organizations and communities. It invites people to tell the stories they want to tell and to jointly search for what gives life to organizations and communities. It is increasingly applied for both small and large change processes, ranging from small personal change to mega-cities or entire regions and multi-national companies such as McDonald's or British Airways.[31]

The merits of AI in evaluation have been described in a brand-new book: Using Appreciative Inquiry in Evaluation, edited by H. Preskill and A. T. Coghlan. According to the authors, AI is particularly appropriate for the following situations, many of which are particularly relevant for advocacy organizations:

- Where previous evaluation efforts have failed
- Where there is a fear of skepticism about evaluation
- With varied groups of stakeholders who know little about each other or the program being evaluated
- With hostile or volatile environments
- When change needs to be accelerated
- When dialogue is critical to moving the organization forward
- When relationships among individuals and groups have deteriorated and there is a sense of hopelessness
- When there is a desire to build evaluation capacity - to help others learn from evaluation practice

[31] The Change Management Toolbook. (2005). Appreciative Inquiry Revisited
A New Approach for Monitoring and Evaluation. Bratislava, Slovak Republic: Change Facilitation. Retrieved June 23, 2006, from http://www.change-management-toolbook.com/tools/AI.html

- When there is a desire to build a community of practice
- When it is important to increase support for evaluation and possibly the program being evaluated. [32]

The use of language is crucial to facilitating the Appreciative Inquiry approach in organizational development and evaluation work. Rather than assuming the traditional position of objective observer, the evaluator uses the language of the inquiry to intentionally lead stakeholders toward mutually developed positive plans of action.[33] For example, if we wanted to understand the ways and extent to which collaboration is working in an organization, typical questions might be:

1. What are the current barriers to collaborating?
2. How could collaboration be improved?

Using an AI approach, the questions might be rephrased like this:

1. Think of a time when you were collaborating with someone (or a group) from another department, and you felt excited, alive, proud and successful. Describe that time – what was happening? What made it successful? What was your role? What did others do to make it effective?
2. If you could have three wishes for ensuring more of these successful collaborations, what would those wishes be?[34]

Here are some sample process evaluation questions that are written in the spirit of the AI paradigm.

1. What was your peak moment when you felt best about [campaign/policy/activity x]?
2. What have you learned that you would share with others doing similar work?
3. Did anything surprise you when doing [campaign/policy/activity x]?
4. What would help you be more successful?
5. What is one *wild* idea you have for improving [campaign/policy/activity x]?

MEASURING SHORT-TERM INCREMENTAL OBJECTIVES

This evaluation direction provides those engaged in advocacy and policy work with a focus and accountability on indicators of progress. The shorter-term nature of this approach can be beneficial given the dynamic and chaotic nature of social change. This approach may be especially relevant for cases in which funding is short-term, one-time or targeted for a specific activity or product.

[32] Ibid.
[33] Hansen, K. (2004). Transformative Designs: Appreciative Inquiry. Boulder, Colorado: Transformative Designs. Retrieved June 23, 2006, from http://www.transformativedesigns.com/appreciative_inquiry.html
[34] Ibid.

Outputs: Amount of services delivered or products created by a program.
Outcomes: Short, intermediate and long-term changes in the lives of individuals, families, communities, organizations and systems that are influenced by programs, e.g. changes in attitudes, knowledge, skills, behaviors, norms, partnerships, policies.
Indicators: Specific measurable and observable changes that can be "seen, heard or read" to demonstrate that an outcome is being met.
Objectives/Performance Measures: Specific measurements that reflect achievement of outputs, outcomes, or indicators. These can overlap with indicators, outcomes, and outputs depending on the type of achievement desired.

Objectives are specific measurable accomplishments within a certain timeframe. Unlike outcome and outputs which have been firmly defined through the language of logic models,[35] objectives can reflect achievement of outputs, outcomes, or indicators. (See definitions of each in the sidebar.) For this section, we will provide samples of relevant outputs, or units of services or products.[36] It can be valuable to capture "outputs," or information about the type of activities undertaken in addition to or instead of information about outcomes, particularly in the funding contexts noted above. For organizations that have objectives that reflect achievement of outcomes, please see the data collection examples for the Core Outcome Areas section.

Important outputs related to the *changing social norms activities*, such as media campaigns, message development, or development of trusted messengers/champions, could include:

- Number and type of activities (e.g., number of PSAs, number of billboards, number of messengers trained)
- Number and type of audiences reached (e.g., community members, legislators, organizations, clubs, etc.)
- Intensity of outreach efforts to specific audiences (e.g., how many outreach efforts to each audience, high or low "touch", etc.)

Important outputs related to *organizational capacity activities*, such as trainings, consultation support, or other capacity building, could include:

- Number and type of activities (e.g., training sessions, institutes/conferences attended, etc.)
- Number/percentage staff member participation
- Completion of plans, documents, protocol, etc.
- Hours of consultation/training received

Important outputs related to *alliance strengthening activities* could include:

- Number and type of activities (e.g., meetings, contacts, etc.)
- Number and diversity of partners engaged

Important outputs related to *strengthened base of support activities*, such as public engagement campaigns, coalition development, voter registration, could include:

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[35] See the following:
Organizational Research Services. (2000). Outcomes for Success! Seattle, Washington: The Evaluation Forum.
W.K. Kellogg Foundation. (2004). Using Logic Models to Bring Together Planning, Evaluation, and Action: Logic Model Development Guide. Battle Creek, Michigan: W.K. Kellogg Foundation. Retrieved May 31, 2006, from www.wkkf.org/Pubs/Tools/Evaluation/Pub3669.pdf; United Way of America – reference information forthcoming
[36] Organizational Research Services (2000) Outcomes for Success, op.cit., page 25 and 31.

- Number and type of activities (e.g., number of pieces of mail sent, number voters registered, number events held, etc.)
- Number and type of audiences reached (e.g., community members, legislators, organizations, clubs, etc.)
- Number of volunteers trained

Important outputs related to *improved policies activities*, such as development of products, research, briefings, etc., could include:

- Number and type of activities (e.g., meetings with key legislators, type of research undertaken, number of successful pilots/demonstrations implemented, etc.)
- Number and type of audiences reached (e.g., legislators, organizations, clubs, etc.)
- Number of products developed (e.g., white papers, amicus briefs, etc.)

METHODOLOGICAL NOTE: Outputs can be a useful measure for accountability. However, they are also an important component of understanding the outcomes generated through organization's efforts. Knowing the scope and scale of activities provides a context for knowing what kind of outcomes to expect and from whom.

CASE STUDY DOCUMENTATION OF PROCESS AND IMPACTS

Advocacy organizations and their partners and stakeholders can benefit from learning about what has happened in the process of social change, including types of strategies and partners engaged, "wins" and "losses," the context (e.g. political, social, economic) of change, case illustrations, and lessons learned. Typically, these types of evaluations are more time- and resource-intensive and will necessitate support outside of funded organizations for data collection, analysis and reporting. This section will provide some information about methods that foundations or other funders could implement under this type of evaluation design.

METHOD: CASE STUDIES

Case studies are a "focused, in-depth description, analysis, and synthesis of a particular program or other object."[37] Case studies look at a program (or coalition or initiative), the contexts it exists within and its internal operations. Generally, case studies employ a variety of different qualitative and quantitative methods to triangulate multiple perspectives and data sources to create a picture of a program, process or organization. Typical questions answered by a case study include:

- ? What is the program in concept and practice?
- ? How does it actually operate to produce outcomes?
- ? What are the shortfalls and negative side effects?

[37] Stufflebeam, D.L. (2001). Evaluation Models, New Directions for Evaluation 89, page 34.

- What are the positive side effects?
- What are the most important reasons for successes and failures?
- What has been or could be successfully transported to other sites or organizations?

Strengths of a case study approach include: a focus on the audiences' most important questions, consideration of contextual influences, a focus on strengths and weaknesses, holistic and in-depth examination, and utilization of quantitative and qualitative approaches.[38]

This approach can be particularly helpful for learning about successful—and unsuccessful—campaigns or advocacy efforts. The in-depth information developed can help build knowledge for future funding or activities.

METHOD: THEORY-BASED EVALUATION

A theory of change can provide a roadmap for funders and advocacy organizations, helping to identify the strategies being used and short-term outcomes expected to lead to overall goals. When operating under a particular theory of change, foundations may want to investigate the theory of change itself. Theory-based evaluation can look at not only what outcomes occur, but also how and why based on the articulated theories. Like a case study approach, theory-based evaluation gives organizations an opportunity to answer questions about how and why programs work; in addition, it tests the linkages between what programs assume their activities are accomplishing and what actually happens at along the way.[39] This can be particularly valuable for policy and advocacy theories of change. Though some theories of change are built on practices and approaches that have a strong social science literature backing, policy and advocacy work cannot point to clear cut answers about causal relationships between activities and outcomes.

Theory-based evaluations should focus on those theories and linkages that stakeholders believe are most critical to program success, theories that are most plausibly linked to likely outcomes based on actual implementation of activities (including dedication of resources), and those that are deemed most central to the theory of the program. In addition, efforts might also be placed on those linkages that are the most uncertain.[40]

For example, an advocacy organization might develop a theory regarding a strategic communications strategy:

[38] Ibid, pages 44-52
[39] Weiss, C.H. (2000). Which Links in Which Theories Shall We Evaluate, New Directions for Evaluation, 87, page 35.
[40] Ibid, pages 39-43

Provide strategic communications to opinion leaders

So that

Opinion leaders increase their awareness of the issue

So that

Champions are developed

So that

The issue is included in relevant public policy and funding decisions at the local, state and federal levels

This "theory" suggests that this organization believes that they will raise awareness, develop champions and impact policy decision through involvement of these champions with strategic communications activities. The implicit assumptions are:

1. Influential individuals don't know enough about the issue.
2. If targeted individuals know more about the issue, they will be motivated to act.
3. Champions can influence public policy making.

A theory-based evaluation might try to answer one or more of the following questions:

- Are the right audiences being targeted with messages?
- Are the messages effective in changing beliefs/attitudes/values?
- Do those targeted become champions?
- Are messages alone enough to develop champions?
- How do champions interact with or impact the policy process?
- How effective are champions at influencing policy?

METHOD: USE OF CODING PROTOCOL WITH QUALITATIVE DATA

There may be times when organizations want to let relevant outcomes emerge from an exploration of activities. Qualitative methods, such as focus groups or key informant interviews, may be used to learn more about a process and the outcomes experienced. These data can then be coded by a standardized set of codes to identify themes and create quantitative data for analysis.

Allies Against Asthma, a national program funded by the Robert Wood Johnson Foundation, provides support to community-based coalitions that are implementing comprehensive pediatric asthma management programs. Coalition efforts include improved access to and quality of medical services, education, family and community support, and environmental and policy initiatives.[41] Though policy initiatives were not the primary emphasis of coalition efforts, some example policy priority areas they could address included:

- Promoting reimbursement of asthma education and institutionalizing Community Health Worker services;
- Promoting coordination of care and services through creating access to common client-specific asthma-related health data (e.g., on-line asthma registries);
- Adopting and enforcing healthy indoor air standards;
- Increasing the number of smoke-free workplaces and banning smoking in public places;
- Promoting school policies that support students with asthma; and
- Promoting policies in the housing sector to support healthy home environments for children with asthma.[42]

Results of the coalition's efforts, including policy and advocacy outcomes, have been measured qualitatively as part of a cross-site evaluation of Allies Against Asthma through key informant interviews with coalition members, staff and leadership, as well as key community leaders outside of the coalition.[43] The Key Informant Interview Guides collected a broad range of perspectives on the activities of a coalition through a semi-structured format.[44] The qualitative data from these interviews were then coded by evaluators to assess the types of impacts reported.

While this tool specifically asks about coalition activities for asthma management, it could be modified for other types of coalitions.

[41] Batelle Centers for Public Health Research and Evaluation. (2005). Allies Against Asthma: About Allies Program Overview. Retrieved June 23, 2006, from http://www.asthma.umich.edu/About_Allies/Program_Summary/prog_sum.html
[42] Group Health Community Foundation & King County Allies Against Asthma Foundation. (2005) Section 7 – Promoting Asthma Control Policies. King County Allies Against Asthma Evaluation Report. Retrieved June 29, 2006, from http://www.metrokc.gov/health/asthma/evaluation/index.htm.
[43] Batelle Centers for Public Health Research and Evaluation.. (2005) Allies Against Asthma Evaluation Design and Instruments. Retrieved June 29, 2006, from http://www.asthma.umich.edu/About_Allies/Evaluation/methods.html.
[44] Batelle Centers for Public Health Research and Evaluation. (2005). Key Informant Interview Guides. Allies Against Asthma. Retrieved June 29, 2006, from http://www.asthma.umich.edu/About_Allies/Products/eval_instrus.html, page 1.

Key Informant Interview Guide Sample Impact Questions:[45]

1. How has being involved with this coalition been of benefit to you? Has participation changed the way you personally think about or approach asthma? Have these changes in your thinking translated into specific actions already? *(If yes, probe for examples)*. How might they in the future?

2. *(Note: ask only if individual is a representative of an organization)* How has being involved with this coalition been of benefit to your organization? Has participation changed the way your organization approaches asthma?

   Probes: Has the presence of the coalition in the community had any effect on:
   a) the level of exchange of resources and information among organizations? (*probe for formal agreements/structures)*
   b) the ability of member organizations to secure additional resources for asthma control? (*probe for new funding, in-kind services)*
   c) the ability of member organizations to pursue related goals, such as other pediatric health issues, or asthma control among other populations? *(probe for examples of applying new knowledge, skills, connections)*

3. To what degree does the coalition collaborate with other organizations or individuals outside the coalition that are involved in asthma control? *How, or why not? (probe for new organizations and new sectors being involved)*

4. How visible is the coalition in this community? *(probe for media coverage, visibility within top levels of key organizations, public awareness)*

5. Has the coalition had an effect on support for pediatric asthma prevention and control programs in this community? *(probe for legislative/governmental involvement, increase in community involvement, nonmembers expressing interest in the coalition activities/results, dissemination of results within community, new policies, changes in clinical care systems, new systems introduced into the community)*

6. Are there any other benefits or impacts of the coalition that you have observed at this point in time? (*probe for application of knowledge/skills beyond those directly funded)*

7. Thinking about all of the impacts we just discussed, which of these do you think might have happened even without the coalition?

[45] Ibid. The complete tool is available at: http://www.asthma.umich.edu/media/eval_autogen/key_informant.pdf. For use and/or adaptations of these questions, please credit Allies Against Asthma and the Battelle Centers for Public Health Research and Evaluation.

The data from these interviews were coded for specific themes, or types of outcomes. Here are some sample coding categories that were used to identify outcomes:

Code[46]	Definition
Individual Impacts	Impacts to the individual participant from participation in the coalition
Organizational Impacts	Impacts to the participant's organization from participation in the coalition, may also capture benefits to the organization due to the individual's participation in the organization.
New Participants	Discussion of changes in people and organizations engaged in asthma efforts – new partners that had not worked on pediatric asthma in the past; existing interventions that now involve more partners
Collaboration within Coalition	Resource or information exchange within the coalition or between coalition members, collaboration among/between coalition members
Collaboration Outside Coalition	Collaboration or participation with groups outside the coalition
Funding-resources	Funding, support, or resources from external sources, also code discussion of grants or funding applied for by the coalition
New Application	Impact of the coalition on the ability of members to pursue related goals including examples of the application of new knowledge and skills outside the specific funded activities – spin-off efforts, application of coalition model to other issues
Visibility of Coalition	Media coverage, community participation, information dissemination
Legislative efforts	Changes in laws or lobbying activity or proposed efforts
Systems changes	Policy changes, service delivery changes, access to care or proposed efforts
Dissemination	Any discussion about dissemination including examples of dissemination of results (e.g., publications, presentations, etc.)
Target Community	Outcomes or impacts on the target community of children/families with asthma, including health outcomes, service delivery outcomes, or intervention outcomes
Other impacts	Any other impact that cannot be coded in any other code above

[46] Ibid. The complete tool is available at: http://www.asthma.umich.edu/media/eval_autogen/key_informant.pdf. For use and/or adaptations of these questions, please credit Allies Against Asthma and the Battelle Centers for Public Health Research and Evaluation.

REPORTING TOOL: ALLIANCE FOR JUSTICE ADVOCACY EVALUATION TOOL

Alliance for Justice, in collaboration with The George Gund Foundation, developed new advocacy evaluation and advocacy capacity assessment tools for foundations to use with grantees and perspective grantees. They were assisted in this endeavor by Mosaica: The Center for Nonprofit Development and Pluralism. *Build Your Advocacy Grantmaking: Advocacy Evaluation Tool & Advocacy Capacity Assessment Tool* uses a pragmatic approach to evaluation and is designed to assist both private and public foundations, as well as grantees, that are seeking better evaluation methods.[47] The Advocacy Evaluation Tool is intended to help foundations and grantees identify and measure advocacy effectiveness. It helps organizations "articulate advocacy goals, strategies to achieve those goals, and benchmarks to evaluate progress and outcomes." Foundations can use the tool to:

- Assess progress in meeting project advocacy goals
- Help grantees to develop long-term and incremental measures of success and progress
- Assist grantees in planning their advocacy efforts
- Help grantees identify and apply lessons learned from advocacy efforts
- Stimulate discussion among the foundation's board, staff, and grantees about how to accomplish effective advocacy and techniques for evaluating advocacy
- Build realistic expectations for advocacy and advocacy capacity-building efforts funded by the foundation

Advocacy Evaluation Tool Part 1

The pre-grant evaluation form asks grantees to identify and share with funders their goals, expected strategies for legislative, executive branch, judicial, and/or nonpartisan election related work, projected results and activities, and areas in which the organization will strengthen its resources and ability to carry out effective advocacy campaigns. In order to help identify capacity building goals, the organization can also complete the capacity assessment tool (see page ** for information about the Alliance for Justice Capacity Assessment Tool).

Advocacy Evaluation Tool Part 2

The evaluation reporting form asks grantees to measure and describe the results and impact of their work and share it with funders, including progress made on the planned goals, strategies, and long-term and short-term results and activities. Grantees are prompted to briefly "tell the story" of how they maneuvered the changes and other challenges encountered in their advocacy

[47] To order *Build Your Advocacy Grantmaking: Advocacy Evaluation Tool & Advocacy Capacity Assessment Tool*, e-mail fai@afj.org or call 1-866-675-6229 or 202-822-6070, or visit www.allianceforjustice.org. If you would like to discuss this model, please contact Marcia Egbert (megbert@gundfdn.org) at The George Gund Foundation or Susan Hoechstetter (shoech@afj.org) at Alliance for Justice.

work during the grant period. Questions are provided to promote an overall discussion of lessons learned.

CONCLUSION

As those involved in advocacy and policy change efforts seek to strengthen and expand their impact, evaluation of advocacy and policy work is a new and emerging field. This new frontier in evaluation offers many exciting possibilities, but the fledgling field of advocacy and policy evaluation does not yet have a consistent language nor the commonly accepted standards of practice that have developed alongside program evaluation over the past two decades. Further, there are only a small handful of examples that illustrate how evaluation of advocacy and policy work has been undertaken in the real world.

This guide is unique in its comprehensive exploration of advocacy and policy change evaluation approaches, and we hope that readers have found the contents to be useful. The guide has presented not only the context for evaluation of advocacy and policy change efforts, but also suggested a consistent framework to conceptualize, describe and discuss the potential outcomes of this work. Additionally, we have offered considerations about evaluation design so that those interested might begin to identify directions for measurement and inquiry as they apply. Finally, we hope that the breadth of data collection tools and processes we have presented leads people to try out evaluation, reflect on their findings and share their learnings more broadly.

Again, our hope is that this manual will advance the field by equipping foundations, grant makers, non-profit organizations and evaluators with a language for future discussion as well as tools for undertaking measurement. Even further, we hope that this guide inspires those interested in this field to try new things; to believe that evaluation of advocacy and policy work is not only doable but worthwhile, and to boldly push ahead.

REFERENCES FOR A PRACTICAL GUIDE TO MEASURING ADVOCACY AND POLICY

Prepared for

Annie E. Casey Foundation

September 2006

Prepared by

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Appendix A: Illustrations of Options for Evaluating Plans

A PRACTICAL GUIDE TO MEASURING ADVOCACY AND POLICY

Table A-1. Identification and Measurement of Core Outcome Areas Related to Social Change or Policy Change

Focus	Data Collection Methods or Tools	Frequency and Schedule of Data Collection	Sampling Strategy
Broad outcomes and specific sub-outcomes and indicators related to social change and policy change. Process measures that contribute to these outcomes are also relevant for the analysis. Examples: 1. What aspect of Policy change will occur as a result of the strategies involved in a specific campaign? 2. What indicators will signify progress for these outcomes? 3. What type, level, duration and quality of activities contribute to these outcomes? 4. Which partners will collaborate to achieve these outcomes and in what ways? 5. What external conditions might affect the achievement of these policy outcomes?	Option 1. Survey Option 2. Key informant interviews (conducted by internal or external evaluators) Option 3. Content analysis of media publications, ordinances, legislation, etc	Regularly scheduled data collection Option 1. Pre and post test data collection points Option 2. Pre and post test and midpoint data collection points Option 3. Longitudinal data collection points, e.g., every six months, annually, or biannually over 10 years	Sampling will vary according to the outcome measured. Option 1. Random sample of the public Option 2. All legislative representatives or their key staff Option 3. Stratified sample of neighborhood residents in different socio-economic strata Option 4. Purposive sample of opinion leaders Option 5. Coalition representatives from partner organizations

Table A-2. Evaluation of Short-Term Incremental Objectives

Focus	Data Collection Methods or Tools	Frequency and Schedule of Data Collection	Sampling Strategy
Core questions about the markers of achieving incremental objectives Examples: 1. What are the goals and objectives of a campaign? 2. How tangible indicators of progress will signify a successful result? 3. What results do you intend to achieve over the next 3 months? Six months? 12 months?	Option 1. Survey Option 2. Results checklist or spreadsheet Option 3. Key informant interviews conducted by external evaluator (structured or semi-structured)	Regularly scheduled data collection Option 1. Monthly data collection points Option 2. Quarterly data collection points Option 3. Annual data collection, including retrospective analysis	Primarily purposive sampling strategy in which the respondents are selected for their knowledge and awareness of strategic progress Option 1. Representative sample of staff Option 2. Executive staff and board of directors Option 3. Executive director Option 4. Members of a coalition Option 5. Beneficiaries of the campaign goals, e.g., children in specific school district, households living below the federal poverty level in a specific neighborhood, or other population group

Table A-3. Evaluation of Strategic Progress

Focus	Data Collection Methods or Tools	Frequency and Schedule of Data Collection	Sampling Strategy
Core questions about the process and indicators of progress. Examples: 1. Who needs to change (e.g. policy makers, agency staff who enforce policy, public opinion leaders)? 2. How does change occur (e.g., change in ordinance, change in policy, funding for policy, enforcement of existing policy)? 3. What type, level, duration and quality of activities contribute to these outcomes? 4. What is the current window of opportunity for change? 5. Which partners will collaborate to achieve these outcomes? In what way? 6. What is a realistic short-term outcome/indicator of progress?	Option 1. Focus group Option 2. Reflection log or journal Option 3. Key informant interviews conducted by external evaluator (structured or semi-structured)	Regular ongoing data collection Option 1. Monthly data collection points Option 2. Multiple data collection points at commencement, mid-course and conclusion of grant or campaign	Primarily purposive sampling strategy in which the respondents are selected for their knowledge and awareness of strategic progress Option 1. Representative sample of staff Option 2. Executive staff and board of directors Option 3. Executive director Option 4. Members of a coalition

Table A-4. Assessment of the Capacity of the Advocacy and Policy Organization

Focus	Data Collection Methods or Tools	Frequency and Schedule of Data Collection	Sampling Strategy
Capacity of non-profit organization overall or with respect to a particular area, e.g. leadership, fund development, communication strategies, strategic planning	Option 1. Structured self-assessment tool Option 2. Structured on-line survey Option 3. Key informant interviews conducted by external evaluator (structured or semi-structured)	Option 1. Multiple data collection points-- Commencement of grant and annual assessments Option 2. Single data collection point-- Conclusion of a grant year	Primarily purposive sampling strategy in which the respondent are selected for their knowledge and awareness of the organizational capacity. Option 1. Representative sample of staff Option 2. Executive staff and board of directors Option 3. Executive director

Table A-5. Case study Documentation of Process and Impacts

Focus	Data Collection Methods or Tools	Frequency and Schedule of Data Collection	Sampling Strategy
Key events, partners, strategies, progress markers and reflections in the development and implementation of advocacy and policy work Examples: 1. What are the perspectives of different advocacy partners regarding a new legislative proposal? 2. Why wasn't there enforcement of a designated marine protected area? 3. How did students respond to new school policy about nutritious options in vending machines? (e.g., changes in attitudes, behavior, health conditions)	Option 1. Observations and reflections Option 2. Key informant interviews (conducted by internal or external evaluators) Option 3. Content analysis of media publications, ordinances, legislation, etc Option 4. Survey	Ongoing data collection Option 1. Periodic data collection points scheduled during events Option 2. Specific data collection schedule that precedes and follows the implementation of a new strategy or policy (pre and post test) Option 3. Intensive data collection during key events and critical moments Option 4. Weekly log including descriptive and reflective input	The sample will be comprehensive and inclusive of various stakeholders and participants. The sampling frame will be emergent as events unfold. Option 1. Key participants Option 2. Key partners Option 3. Key beneficiaries

APPENDIX B: EXAMPLE THEORY OF CHANGE

A PRACTICAL GUIDE TO MEASURING ADVOCACY AND POLICY