

# MSI's Advancing Policy and Institutional Change (APIC) Framework



MSI developed its political economy-oriented approach to advancing policy and institutional change (APIC) over more than two decades, helping governments and advocacy groups shape and manage complex reform efforts. Originally developed and popularized under the auspices of the USAID-funded Implementing Policy Change Project (IPC), this approach has been applied across a range of sectors in more than 40 countries; extensively documented;<sup>1</sup> and acknowledged by the World Bank and other development actors as a best practice in achieving sustainable policy and institutional change.

This updated APIC framework addresses a perceived “hole” in international development’s new focus on thinking and acting politically. Much political economy thinking is done at the front end in the form of assessments that feed into design, yet it can be difficult to chart a path that responds to key findings. In addition, it has proved difficult in practice to incorporate political economy concepts into implementation. MSI’s APIC framework provides an approach and tools that facilitate on-going analysis of and responses to political context. It also

incorporates new research on institutional reform and systems thinking as well as MSI’s own learning from using the approach over time. Key insights include taking a flexible and adaptive approach to reform that responds to changes in the environment and among stakeholders, empowering local systems that foster locally driven and inclusive development, and keeping the framework and tools simple so that they can be used with local stakeholders committed to pursuing reforms.<sup>2</sup> The APIC framework also broadens the lens from IPC’s strong focus on policy implementation to include policy and reform design, recognizing that these may be absent in many situations. As a result, APIC portrays an expanded number of tasks in a task wheel, which emphasizes the non-linear and interdependent nature of the tasks. This brief guide lays out the framework in summary fashion and is intended for those supporting reforms in a given context. It provides a systematic approach and common vocabulary that can be helpful in sorting through what needs to be done. MSI has used the task model to help stakeholders develop and adapt action plans for whatever stage they are at in a reform process.

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<sup>1</sup>See <http://www.msiworldwide.com/project/implementing-policy-change>.

<sup>2</sup> See, for example, Matt Andrews, *The Limits of Institutional Reform in Development: Changing Rules for Realistic Solutions* (New York, NY: Cambridge University Press, 2013); Brian Levy, *Working with the Grain: Integrating Governance and Growth in Development Strategies* (New York, NY: Oxford University Press, 2014); Ben Ramalingam, Miguel Laric and John Primrose, “From Best Practice to Best Fit: Understanding and Navigating Wicked Problems in International Development,” Overseas Development Institute, July 2014; USAID, “Local Systems: A Framework For Supporting Sustained Development,” USAID, April 2014; World Bank, *World Development Report 2015: Mind, Society, and Behavior* (Washington, DC: World Bank, 2015).

“Policy and institutional change” implies practical, on-the-ground changes in publicly sanctioned rules, procedures and programs, rooted in the real world of politics, opposing interests, competing values and limited resources. Where suitable policies are already on the books, the framework focuses on implementation of those policies, whether old or new. Where such policies have not been adopted or need to be modified, it also includes formulation and formal adoption/revision of policies and laws. The framework helps reformers to better outline their missions, set priorities, conduct effective advocacy and coalition building, and mobilize their constituents. By using

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Using APIC, MSI provides hands-on technical assistance, training, and process consulting to government offices, civil society groups, the private sector and public-private partnerships. Our support includes assessing political and organizational assets and obstacles for implementing policies, analyzing stakeholder interests and concerns, and engaging citizens and resolving conflicts through the design of innovative structures and processes.

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the framework, organizations can better focus on stakeholder needs and participation, link strategic and operational management tasks, and increase ownership of policy and institutional change initiatives.

The framework reflects the view that managing policy and institutional change is different from managing projects and programs. The context is political, the needed resources are rarely in hand, and no one is fully in charge. For these reasons, successful policy and institutional change requires a different style of management – and different management tools – than most public managers are used to. The style and the tools are those of political mobilization,

effective communications and strategic management, simultaneously focused on understanding and managing the external environment; re-orienting the internal operations of government agencies, NGOs and coalitions; and anticipating future changes. The focus is not on individual organizations or isolated activities but the contributions of multiple and interconnected actors within local systems.

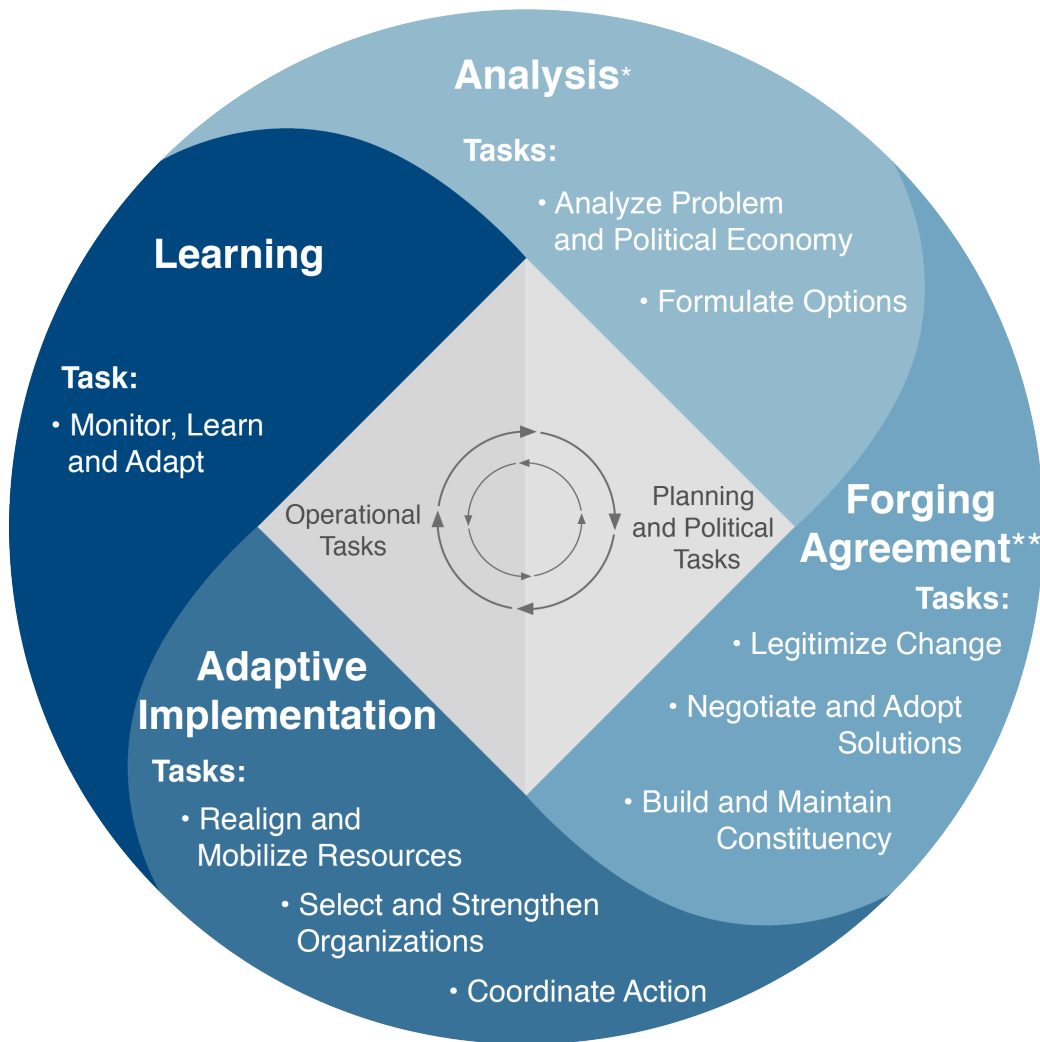
Because policy and institutional change typically reconfigures roles, structures and incentives – thereby changing an array of costs and benefits to implementers, citizens and politicians – effective change strategies are rarely just technical. In addition to technical analysis, the framework therefore emphasizes a political economy perspective on the interests, values and influence of key stakeholders. Tasks associated with this perspective include consensus-building, conflict resolution, compromise, contingency planning and adaptation. Developing country officials and international donor agencies have traditionally focused on policy content, often ignoring or downplaying the reform process, and have encountered many obstacles that could have been avoided.

The MSI APIC framework approaches the management of policy and institutional change as a series of nine **interdependent** tasks. Each task makes an important contribution to the change process and links with the other tasks. The figure below illustrates how these tasks fit together in the Advancing Policy and Institutional Change Task Wheel. As reflected in the circular arrows in the middle of the figure, the tasks are not linear as ongoing adjustments or new approaches may focus attention on a task at any point in the wheel.<sup>3</sup> Policy and institutional change is an iterative process that involves learning while doing and maintaining flexibility. Plans are important, but so are the ability and willingness to vary from those plans to respond to unanticipated events, new information and feedback loops.

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<sup>3</sup> Numbers assigned to the tasks are just for ease of reference.

## APIC Task Wheel



\* Entry point when confronting a problem.

\*\* Entry point when problem and solution(s) are identified.

The wheel also allows for varying entry points depending on the salient issues in the reform process at a given time. When reformers are confronting a problem they are eager to solve, for example, tasks under Quadrant 1, Analysis, may provide the logical entry point. When reformers have identified the problem and possible solution(s), tasks under the first quadrant may still be useful, but the tasks under Quadrant 2, Forging Agreement, may provide the optimal entry point.

The tasks within the wheel include planning and political tasks alongside operational tasks. Planning and political tasks involve problem analysis and agreement formulation. Operational tasks involve adaptive implementation and learning. Often reformers focus heavily on the tasks under Adaptive Implementation and pay too little attention to the tasks in the other three quadrants. A brief description of each of the framework's nine tasks follows.

## TASK 1

### Analyze Problem and Political Economy

A solid analysis of the problem needs to guide reform efforts. The analysis should include a technical examination of issues as well as a political economy perspective on the interests and influence of key stakeholders. Understanding the technical issues provides a necessary but insufficient basis for successful initiatives; reform efforts are more likely to succeed where they also take into account the political forces supporting or impeding change. This political analysis unpacks why things work as they do based on key stakeholders, power dynamics, formal and informal institutions, cultural norms and beliefs. Importantly, the analysis helps identify key stakeholders who

support or resist change, and possible strategies for augmenting supporters and offsetting opponents. The values, cultural norms, and ways of thinking relevant to the problem should also be considered. People do not act out of material interests only and their ways of understanding a problem and the range of possible solutions may be bound by cultural and historical factors. The participation of key stakeholders in this task provides first-hand knowledge about the issue and the context, and improves the foundation for identifying possible responses. Useful tools for task 1 are Political Economy Analysis and a Stakeholder Analysis Map.

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### APIC Experience in Mexico

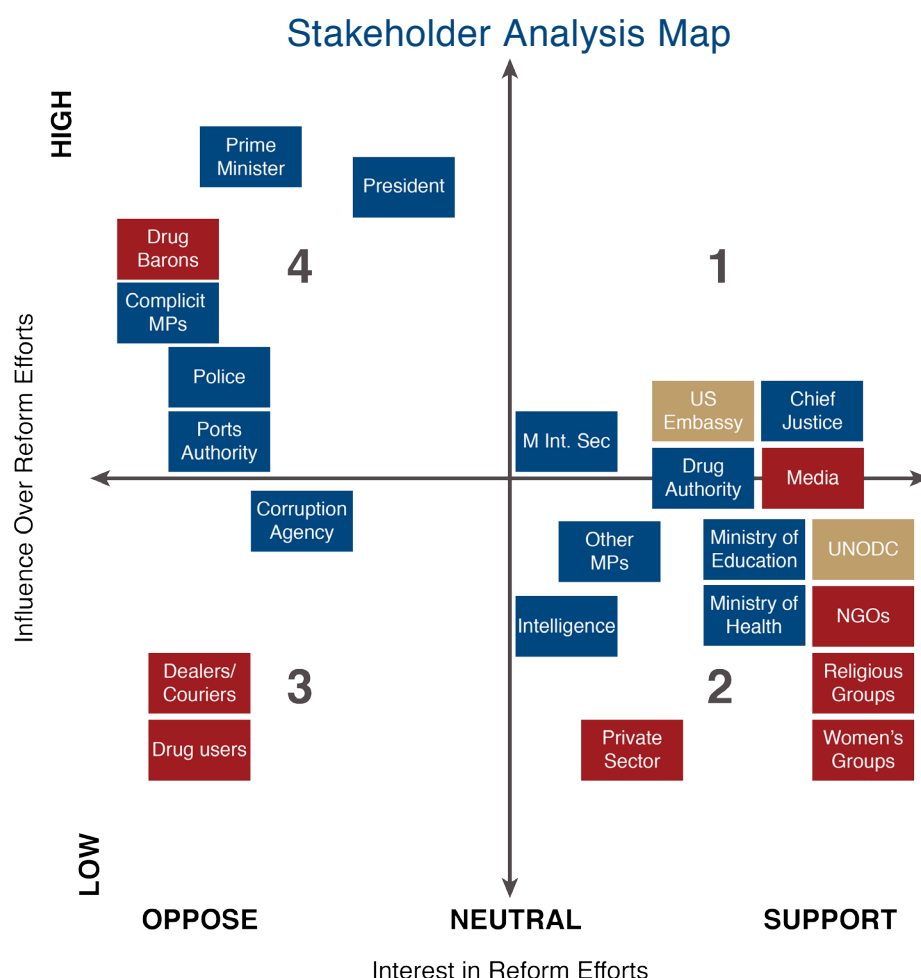
**Context:** Mexico has embarked on a comprehensive criminal justice reform highlighted by the adoption in 2010 of an amendment to the Mexican constitution mandating a transition from accusatorial to adversarial jurisprudence. With funding from USAID, MSI has supported the Mexican government at each stage of this reform effort, which requires changes at the federal level, in all of Mexico's 31 states, and in the Federal District by the middle of 2016.

**APIC Application:** As an organizing basis for this work and as a recurrent element in it, MSI made extensive use of the APIC framework. During the first phase of this effort from 2008 until 2014, this work helped legitimate the change and build constituencies for reform and included six national forums led by the President of Mexico, presidential debates focused on criminal justice reform, the production of an award-winning feature-length movie ("Presumed Guilty"), and development of an extensive NGO network in support of the reform.

More recent efforts undertaken in support of SETEC, the national body coordinating implementation of the reform, include APIC workshops involving more than 400 federal, state and NGO officials that generated actions for each of the 31 states and identified technical assistance in support of the action plans. The workshops helped negotiate solutions, mobilize resources, strengthen organizations and coordinate action.

**Results:** Mexican officials have publicly credited the APIC methodology with helping to ensure implementation of the ambitious reform effort by the mid-2016 deadline.

- *Political Economy Analysis.* A political economy analysis (PEA) involves a literature review and field work. It can focus at the country, sector or problem level, and the resulting complexity of the study will influence the time it takes. Sometimes a problem or reform will involve a transnational element and then actors outside the boundaries of the state will need to be taken into account. Political economy assessment is not a one-time do-at-the start proposition but should be updated at intervals as the dynamics are likely to change as reform progresses
  - » USAID offers guidance for conducting a PEA here: <https://usaidlearninglab.org/library/applied-political-economy-analysis-field-guide>.
  - » DFID offers guidance for conducting a PEA here: <http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/5866.pdf>.
- *Stakeholder Analysis Map.* A stakeholder analysis map provides a graphical depiction of the primary actors affected by a reform effort, drilling down on the political economy analysis. The map shows a stakeholder's support of or opposition to reform on the x-axis and influence over reform efforts on the y-axis. A stakeholder's influence over reforms reflects his or her institutional power, money, alliances and moral authority. Blue boxes designate government officials; red boxes designate non-government actors; and tan boxes designate foreign governments and international organizations. The following map is an illustration of stakeholders involved in counter-narcotics reform.



- » Actors in Quadrants 1 and 2 represent the allies of reform. While actors in Quadrant 1 have more influence over reform efforts, actors in both quadrants may be able to influence opponents to become more supportive through advocacy, cooperation or compensation. Reformers should consider strategies for activating stakeholders in both quadrants and enhancing the influence of stakeholders in Quadrant 2.
- » Actors in Quadrant 4 represent the “spoilers” that can undermine reform efforts. Reformers should consider strategies for appealing to or containing these stakeholders.
- » Actors in Quadrant 3 will not likely be a notable force as they have low influence over reforms and are unlikely to mobilize in meaningful ways with other actors.

One successful strategy could be to focus on those actors hugging the vertical line, to encourage those who are slightly supportive to be more supportive and to pull those who are slightly negative into the support quadrant. It would be particularly useful to focus on those with high influence.

## TASK 2

### Formulate Options

For a given issue, any number of reforms can provide a possible response. The challenge is to identify responses that are more likely to be implemented and have the intended effect. Ease of implementation matters. Reformers should consider options that require less effort and fewer resources as well as those that are likely to generate more support and less opposition. It is useful to think more about functions that must be filled in achieving reform objectives than forms; jumping to Western institutional models generally adds complexity

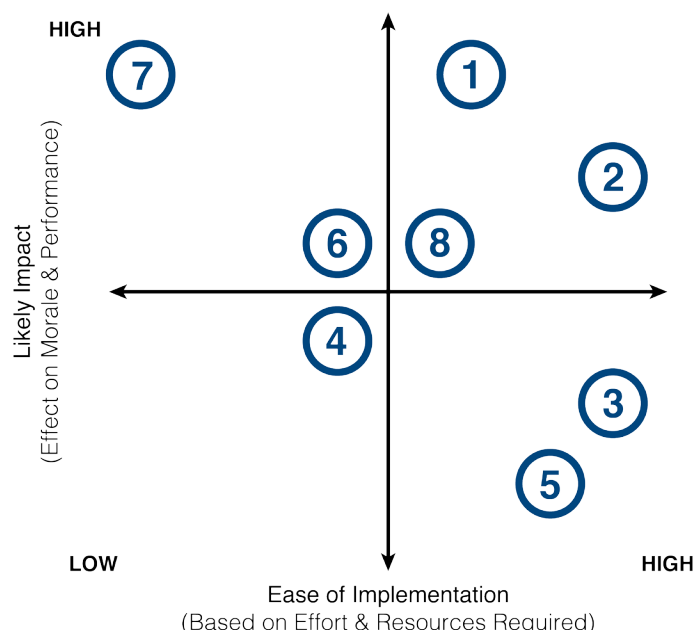
that may make the reform much more difficult to implement. Reformers should capitalize on solutions that have worked elsewhere under similar circumstances, adapting them to local conditions, or propose pilots to test different approaches or innovations. Reformers should also consider how reforms fit with existing policy and make needed adjustments, including repealing contradictory rules and legislation. Many countries are encumbered by incoherent policy frameworks as donors encourage the adoption of new policies, rules and even institutions to address issues without consideration of the older ones that are still on the books. Those affected by the reforms should be engaged in formulating options to make reforms more congruent with stakeholders' needs, perspectives and capabilities.

If the politics of a given reform option look impossible, then a less ambitious option tailored to political realities may be a better course of action; incremental progress can lull opponents and can also encourage reformers to persist with what may seem like a heroic task. At the same time, it may be possible to expand the space for reform through building alliances or strategically framing the issue and the proposed change.<sup>4</sup> Careful attention to ease of implementation helps identify “good fit” options, which are both worthwhile and feasible. Useful tools for task 2 are a Solutions Map, Rapid Results Approach, Reform Complexity Checklist and Scalability Assessment Tool.

- *Solutions Map.* Possible solutions are placed on a solutions map according to their likely impact on the problem and their ease of implementation based on effort and resources required. Implementation will require less effort and resources where opposition is lower. Resources should be considered not only from the initial standpoint but for recurrent costs over time. Donors have often recommended institutional solutions that host countries cannot afford over the medium to longer term.

<sup>4</sup> See Levy, *Working with the Grain*, 217 for a discussion of the spectrum of reform space.

## Solutions Map



- **Rapid Results Approach.** The Rapid Results Approach combines longer-term broad strategic plans with 100-day projects that mobilize front-line teams to innovate and accelerate the pace of change. The approach creates the conditions for change that empower teams to focus on short-

term results. These 100-day, high performance journeys generate early insights on the issues and challenges of implementing longer-term strategies, and they also create momentum and energy for change throughout a system – from the bottom-up. MSI Coaches provide support with this approach. To learn more, please visit <http://www.rapidresults.org/what-we-do/>.

- **Reform Complexity Checklist.** This checklist is a crude test of the “implementability” of different policies. Every check placed in Column A indicates a simplifying factor; and every check in Column C represents a complicating factor. A check placed in column B indicates an intermediate or neutral situation with regard to a particular characteristic. By counting the number of checks in Column A and subtracting the number of checks in Column C, you get a rough measure of a policy’s implementability. The higher the number, the easier it will normally be to implement the policy. The checklist also highlights reform complexities identified in Column C that reformers should devise strategies for addressing.

## Reform Complexity Checklist

	A Simplifying Factor	B (Neutral)	C Complicating Factor	
Where did the impetus for the policy come from?	Inside the country	✓	Outside the country	
	Inside government		Outside government	✓
Is there a shared sense of a critical problem that must be addressed?	Yes		No	
Are deeply held values, customs or norms either causing the problem or blocking change?	No		Yes	
Who decided on the new policy and how were decisions made?	With democratic legislative process	✓	Without democratic legislative process	
	With widespread participation by affected stakeholders	✓	Without widespread participation by affected stakeholders	
What is the coherence of the existing policy framework relative to the problem?	Clear and consistent or unaddressed		Conflicting and/or confusing	
What is the nature of the benefits?	Visible		Invisible	
	Immediate	✓	Long term	
	Dramatic		Marginal	✓
	Widely shared	✓	Narrow group of beneficiaries	



What is the nature of the costs?	✓	Invisible		Visible	
		Long term	✓	Immediate	
		Marginal	✓	Dramatic	
	✓	Widely distributed		Concentrated	
		Supported by donors		Not supported by donors	✓
How complex are the policy changes?		Few changes	✓	Many changes	
		Few decision makers and implementers, concentrated		Many decision makers and implementers, dispersed	✓
	✓	Small departure from current practices, roles and behaviors		Large departure from current practices, roles and behaviors	
		Low technical sophistication	✓	High technical sophistication	
	✓	Low administrative complexity		High administrative complexity	
	✓	Geographically concentrated		Geographically dispersed	
	✓	Normal pace		Urgent/ emergency pace	
	✓	High level of agreement about nature and value of the changes		Low level of agreement about nature and value of the changes	
Total number of checks:	10		9		4
Overall Score			6		

- Scalability Assessment Tool.** After testing pilots, innovations, or ideas drawn from comparable settings, reformers may wish to consider taking some change options to scale. They can then make use of a Scalability Assessment Tool to gauge whether scaling up is a viable option and identify ways to improve scalability. Scaling up is a systematic process through which promising approaches or models are identified and transferred to new contexts to be implemented on a larger scale. The Scalability Assessment Tool is scored by simply putting a check mark in the appropriate column for each criterion. The scores in each of the three columns are added to provide a crude assessment of scalability. The user(s) can then look at criteria where the intervention was scored as making scaling up more difficult and assess how critical this complicating factor is to scaling up, and what can be done to address it. For example, if the model lacks cost data, what can be done to generate cost data? If the model appears to be expensive relative to resources available, what can be done to make it less expensive to implement?

## Scalability Assessment Tool

Model Categories	A ← Scaling up is easier	B Scaling up is harder →	C
A. How convincing is the scaling strategy?	1 ✓ Presence of a clear and compelling strategy for reaching scale	No articulated scaling strategy	
	2 Homogeneous problem, target group and setting – geography, language, economy, politics	✓ Multiple, diverse contexts	
	3 Based on sound evidence	✓ Little or no solid evidence	
B. Is the intervention credible?	4 ✓ Independent external evaluation	No independent external evaluation	
	5 Substantial evidence that the model works in diverse contexts	There is no evidence that the model works in diverse contexts	✓
	6 ✓ Supported by eminent individuals and institutions	Supported by few or no eminent individuals and institutions	
	7 Impact very visible to decision-makers and users and easily associated with the intervention	✓ Impact relatively invisible to decision-makers and users and/or not easily attributable to the intervention	



<b>C. How strong is the support for change?</b>	8	✓	Strong sense of urgency regarding the problem or need		Relative complacency	
	9		Strong leadership coalition committed to change	✓	Weak, divided or deeply conservative leadership	
	10		Addresses an objectively significant, persistent problem		Addresses a problem that affects few people or has limited impact	✓
	11	✓	Addresses an issue that is currently high on the policy agenda		Addresses an issue that is low on the policy agenda	
	12	✓	Addresses a need that is sharply felt by potential beneficiaries		Addresses a need that is not sharply felt by potential beneficiaries	
	13		Faces limited opposition		Faces strong opposition	✓
<b>D. Does the model have relative advantage over existing practices?</b>	14		Current solutions considered inadequate		Current solutions considered adequate	
	15		Superior effectiveness to current solutions and other alternatives clearly established	✓	Little or no objective evidence of superiority to current solutions and other alternatives	
<b>E. How easy is the model to transfer and adopt?</b>	16		Implementable with existing systems, infrastructure, and human resources	✓	Requires significant new or additional systems, infrastructure, or human resources	
	17		Small departure from current practices of target population	✓	Large departure from current practices of target population	
	18		Fully consistent with government policy	✓	Requires substantial change in government policies	
	19		Few decision makers involved in agreeing to adoption of the model	✓	Many decision makers involved in agreeing to adoption	
	20		Highly technological with clear deliverables		Process and/or values are critical	✓
	21	✓	Low complexity; few components; easily added onto existing systems		High complexity with many components; integrated package	✓
	22		Intervention is self-regulating	✓	Intervention requires substantial supervision and monitoring to maintain quality	
	23		Able to be tested by users on a limited scale		Unable to be tested without adoption at a large-scale	✓
<b>F. How good is the fit between the intervention and the adopting organization?</b>	24	✓	Adopting organization has the operational capacity and financial resources to implement at scale		No organization with the systems, delivery agents, and resources to implement at scale	
	25		Adopting and intermediary organizations with experience scaling similar interventions		Adopting and intermediary organizations lack experience scaling similar interventions	✓
	26	✓	Adopting organization has physical presence or strong network and credibility in relevant contexts		Adopting organization lacks footprint and credibility in relevant contexts	
	27	✓	Adopting organization has leadership team, norms and incentives consistent with the intervention		Major changes needed in leadership, organizational norms and incentives	
	28		Demonstrable support for the change among staff of adopting organization	✓	Active resistance by staff of adopting organization	
	29	✓	Organizational history and culture of iterative learning and evidence-based decision-making		No history of iterative learning and evidence-based decision-making	
<b>G. Is there a sustainable source of funding?</b>	30	✓	Substantially lower unit cost than existing or alternative solutions		Higher unit cost than existing or alternative solutions	
	31		Requires small commitment of funds to begin		Requires large commitment of funds to begin	✓
	32	✓	Financed by internal funding (e.g., user fees), endowment or sustainable subsidy		No sustainable funding source	
<b>Total number of checks</b>		13		11		8

For more on an approach to scaling up, please see <http://www.msiworldwide.com/approach/tools/scaling-up-framework-toolkit/>.

## APIC Experience in India

A home-based neonatal care (HBNC) model developed by an NGO in rural India proved to be highly effective at reducing neonatal mortality rates. The model relied on village women who were trained in basic principles and protocols of neonatal care, supplied with a medical kit, and tasked with providing home-based neonatal care services in their communities. The model had been subjected to a rigorous third-party evaluation whose results were published in *The Lancet*, Britain's preeminent medical journal.

As part of its effort to scale up HBNC nationally, the Indian government asked MSI, working with the Population Fund for India, to conduct a political mapping exercise to identify decision makers at the national and state level who might support or oppose the HBNC model, and to recommend ways of overcoming opposition. This information was used to develop an advocacy strategy for HBNC, and to form a coalition that would leverage powerful government stakeholders who were supportive of HBNC. In the end, advocates needed to drop one element of the model— providing antibiotic injections for acute respiratory infections—in order to remove opposition from doctors. This change was critical to securing the model's adoption by federal and state governments and to the subsequent roll-out through more than 700,000 rural health workers, resulting in dramatic and documented reductions in neonatal mortality. The HBNC approach was later adopted in Bangladesh, Pakistan, and Nepal.

### TASK 3 Legitimize Change

In order for change to advance, the problem must be viewed as serious and the reform as legitimate and important. The more difficult or contentious the change, the more it departs from past practice, and the more value-laden it is, the more important the legitimization function is. To acquire this legitimacy, influential people, opinion leaders and citizens must come to believe – and must assert publicly – that the proposed reform is critical to solving a pressing problem, even though it may present serious cost and sacrifice. Legitimation involves the emergence of reform “champions” with credibility, political resources, and the willingness to expend that political capital in support of the initiative. While champions can come from the public sector or civil society, it is important that those reforms that originate outside of government attract high-level government support at the earliest possible date. Policy debates, roundtables,

public education campaigns, and commitments to international agreements such as the Open Government Partnership and the Extractives Industry Transparency Initiative can help support this effort. The task of change legitimization involves awakening sentiment, mobilizing attention, and garnering momentum in support of reform. It should incorporate the psychological and social aspects of opinion formation, notably the propensity to think automatically, think socially, and think with mental models. Ideally, change legitimization should identify and mobilize around a relatively small number of key messages that can raise public awareness, understanding of, and support for a reform. Opinion polls and focus group discussions can inform the legitimization process by illuminating how different segments of the population view the issue and possible solutions. Legitimizing change is critical not only for getting new policies

approved, but also for developing the broader and deeper base of support needed for implementation. A useful tool for task 3 is a Messaging Refinement Tool.

- *Messaging Refinement Tool:* This tool provides a platform for crafting messages that resonate positively with target audiences. The tool is designed to help identify key messages and “inoculate” against criticisms. In the upper left cell, participants identify key messages (or aspirational words) that they hope to communicate about the proposed reform. In the lower left cell, participants document and analyze messages that have been critical of the proposed reform. On the right side, the same exercise is done with regard to the key messages and the criticisms of the opposing position. This information then informs development of an overarching messaging statement and key points to support it, which emphasizes the merits and counters the criticisms of reform, and underscores the problems with the status quo.

### Messaging Refinement Tool

	Reform	No Reform
Reformers	What reformers say about the proposed reform (positive messages)	What reformers say about no reform (critical messages)
Opponents	What opponents say about the proposed reform (critical messages)	What opponents say about no reform (positive messages)

### TASK 4 Negotiate and Adopt Solutions

Solutions to public sector issues often emerge from a protracted process of negotiation and approvals.

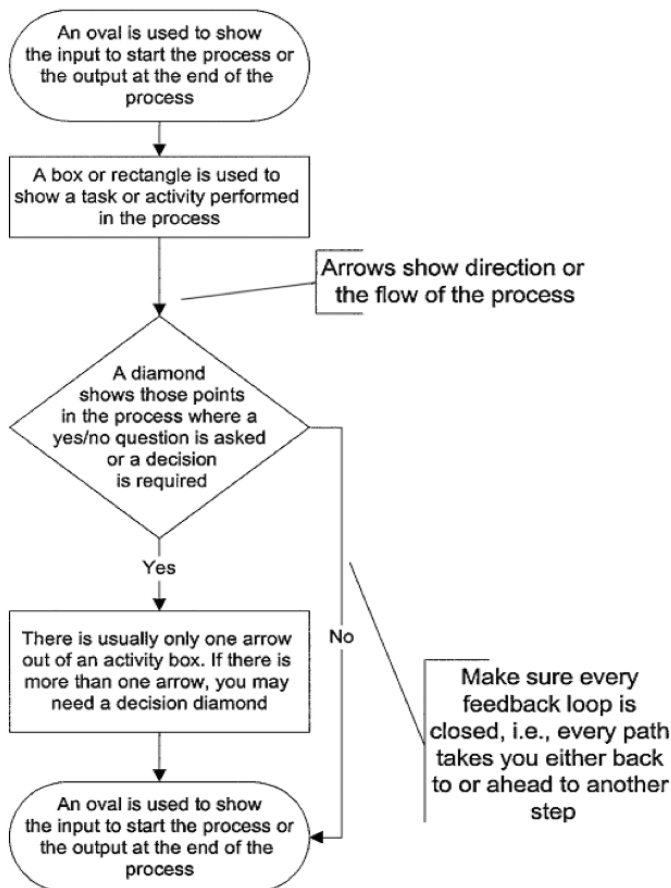
Decision makers such as legislators, ministers and bureaucrats may need to approve the proposed change. They may do so and then partially or fully reverse themselves later. Progress is rarely linear. Getting the proposed change on the agenda of relevant decision makers may occur through directives or may entail advocacy and lobbying, calling in favors and using lines of access. Reformers may pursue a hearing for their issue in different branches or levels of government—and if blocked in one venue may move to another. Understanding veto points in the system as well as legislative and bureaucratic processes and calendars can help reformers navigate the approval process. In the legislative arena or in the offices of bureaucrats, negotiations over details of a proposed solution often lead to modifications from what was originally envisioned. The task of negotiating and adopting solutions is fundamentally political and draws on such skills as problem solving, rapport building and decision making. Useful tools for task 4 are “Managing Disputes and Building Consensus: A Guide to Applying Conflict Resolution Mechanisms When Implementing Policy Change,” Getting to Yes and Process Mapping.

- *Managing Disputes and Building Consensus: A Guide to Applying Conflict Resolution Mechanisms When Implementing Policy Change.* When groups or individuals are confronted with conflicts that divide them or mutual problems that demand their cooperation and interdependence, the methods discussed in this Technical Note can help them find common ground, agree, cooperate and move forward. See [http://www.msiworldwide.com/wp-content/uploads/2011/07/IPC\\_Managing\\_Disputes\\_and\\_Building\\_Consensus.pdf](http://www.msiworldwide.com/wp-content/uploads/2011/07/IPC_Managing_Disputes_and_Building_Consensus.pdf).
- *Getting to Yes.* Negotiations can benefit from the strategies outlined in Getting to Yes, namely separating the people from the problem; focusing on interests, not positions; creating options that will satisfy both parties; and using objective

criteria. For more information, see <http://www.amazon.com/Getting-Yes-Negotiating-Agreement-Without/dp/0143118757>.

- *Process Mapping.* Process mapping allows reformers to diagram the process for gaining approvals needed to advance a reform. Boxes designate tasks and diamonds show the veto points in the process. Visual mapping helps to ensure that no component is missed and to flag issues of sequencing. It may also suggest alternative paths for gaining approvals (see diagram).

### Example Process Map



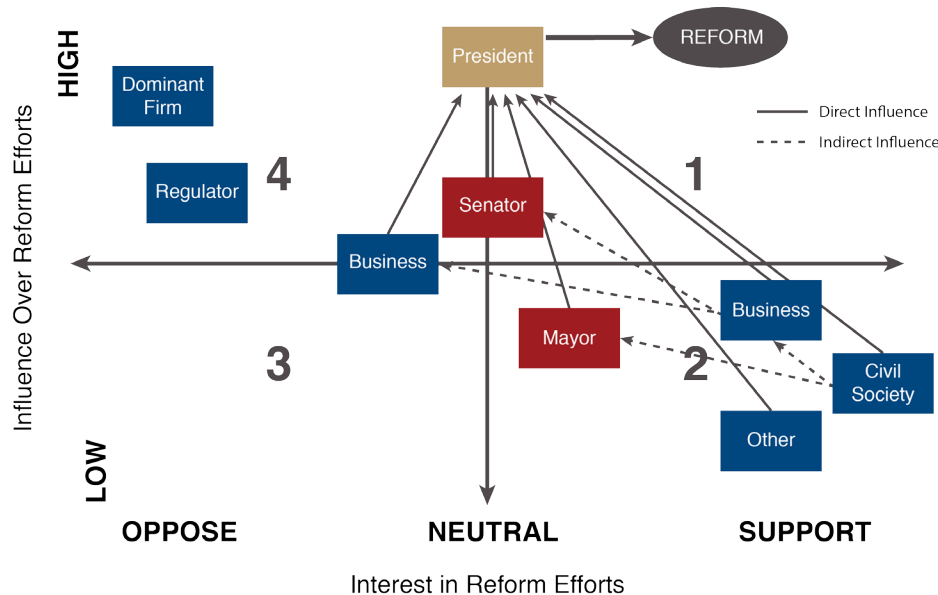
### TASK 5

## Build and Maintain a Constituency

Building and maintaining a constituency complement and amplify the legitimation process. It is an essential task during both the formulation and implementation of reforms. Likely constituents are those who can hope to be better off as a result of the reform and/or who support the reform on principle. Yet mobilizing these constituencies can be challenging if they are diffuse, unorganized, or disempowered. It is a common problem that those who stand most to benefit from a reform face significant collective action problems. At the same time, opposition frequently emerges from those whose budgets need to be reduced in order to free up resources for the change. Likewise, bureaucracies that stand to lose authorities or discretion in the reform process are often resistant to change. Opposition can build over time as losers begin to realize what the reform will cost and can determine more effective strategies for blocking implementation. The task of building and maintaining a constituency entails anticipating and overcoming these and other sources of resistance. Understanding winners and losers and their respective positions, resources and inclination to act are critical to building a coalition in support of reform. A useful tool for task 5 is a Stakeholder Analysis Map.

- *Stakeholder Analysis Map.* This tool can present a visual picture of the possibilities of coalition formation. Actors in Quadrants 1 and 2 could potentially be assembled into a coalition favoring the reform, building off the strong, positive relationships among these actors that already exist. The following map illustrates how a coalition for regulatory reform could be built, with supporters joining forces to lobby the president, who is neutral on the issue, to support the reform.

## Stakeholder Analysis Map and Reform Coalitions



### TASK 6

## Realign and Mobilize Resources

Implementing any reform requires human, technical, and financial resources. These resources are rarely in place at the outset, and old priorities do not disappear simply because new problems arise. Typically, both short-term and long-term resource mobilization strategies are needed; and the task of realigning and mobilizing resources needs to be approached in a strategic and coherent way that secures initial funding and ensures the needed provisions in the government's recurrent budget. Efforts to mobilize resources should also consider other funding sources such as the private sector, donors, or users' fees. Often, the agency charged with coordinating the implementation of a reform is severely resource deficient or, worse, an empty shell. Mobilizing resources must therefore reach beyond the boundaries of individual organizations. Public expenditure reviews, transparent budget

processes and donor roundtables can support the task of securing resources that are needed to implement the reform. Task 6 focuses on the efforts to mobilize resources. A useful tool for task 6 is a budget spreadsheet that includes income and expenditures.

- **Budget Spreadsheet.** Budget templates are available for free download on the Internet. Vertex offers a "Basic Project Budget with Income Section" file in excel that is customizable enabling users to insert the sources of funding, timing of funding streams, and itemized expenses that pertain to the reform. The file is available under "Project Budget" in the "Budget" column and then mid-way down the page on this link: <http://www.vertex42.com/ExcelTemplates/project-budget.html>.

## TASK 7

# Select and Strengthen Organizations

Implementing major reforms almost always calls for the creation of new organizations or major changes to existing organizations. While it may initially appear easier to replace old structures with new ones than to overhaul them, dismantling existing structures often proves to be an imposing task as officials in the older structure have their own political networks. The new unit, task force or department often ends up operating in parallel with the older one rather than replacing it. A careful review of existing organizations should inform where to anchor the reform effort and whether to create new structures. In addition, successful implementation of reform typically involves complementary actions by several agencies, and therefore depends on new channels for sharing information and new procedures for coordination. Task 7 entails selecting anchor organizations then overseeing any changes that are needed within or across organizations. Task 7 begins with the Institutional Selection Tool.

- *Institutional Selection Tool.* The Institutional Selection Tool helps key reform actors identify the institution necessary to anchor the reform effort. If no suitable institution is found, the scope of the reform may be modified or a new organization launched.

## Institutional Selection Tool

1. Does the institution enjoy the respect of policymakers?
2. Is it seen by society as credible and legitimate?
3. Does it have a clear and adequate mandate to deal with the reform in question?
4. Does it have the technical capability to deal with the reform in question?
5. Is it motivated to deal with the reform in question?
6. To what extent is it accessible, accountable and transparent?
7. If the answer to any of the above questions is “no”, what actions can be taken to improve the situation?

- *The 4D Approach.* Once the organization is identified, the Four Dimensional Performance Improvement Approach (4D) can help the organization achieve its performance goals including those needed for the reform. The 4D Approach helps an organization manage change across four dimensions: people, team, organization, and system (seen at the center of the graphic).



This approach ensures coherence for the change effort by first confirming the organization's vision and performance goals in light of the reform effort, then polling the entire organization to identify the organization's assets, needs and incentives related to the reform. The organization itself determines what it needs to change and how the change will be implemented then uses iterative adaptation to learn what works and does not work such that the desired level of performance is achieved and sustained.



## TASK 8

### Coordinate Action

Until implementation actually occurs, reform is theoretical. Real change – moving beyond a reform on paper to a reform in action – requires concrete shifts in how, when, where, and by whom resources are utilized. Reformers need to develop strategic plans and design and execute new programs. Specifying an overall strategy but being open and flexible to redirection is likely to improve outcomes. Coordinating action on many fronts frequently requires joint planning across organizational boundaries. Since implementing agencies will likely resist the mandated changes, planning efforts should create new incentives to help overcome resistance. If the reforms are implemented alongside the agency's traditional activities, those in charge need to be alert to attempts to siphon off resources for other activities. The intensity of engagement across organizations may vary, with some playing a central role and others only supporting

or needing to stay informed. Task 8 focuses on instituting the multi-organization planning processes, coordination mechanisms and accountability procedures needed to ensure that reform intent is translated into concrete action. A useful tool for task 8 is the Organizational Responsibility Chart.

- *Organizational Responsibility Chart (ORC)*. This tool can facilitate coordination of responsibilities. While an ORC may be completed by one or more analysts, it is most effective when used interactively by directly affected parties to clarify and streamline working relationships. One very useful technique is to have the key actors complete the chart separately and then compare their versions as a starting point to negotiate an agreed version.

### Organizational Responsibility Chart

Activity	Actors					
	Ministry of Justice	Governing Body	Min. of Health and Services	Legal Center	National Network of Service NGOs	People Living Positively NGO
Establish governing body	I	I		R	S	S
Draft code of conduct	I	A	I	R	S	S
Establish criteria for monitoring compliance	I	A		S	R	R
Determine appropriate sanctions	R			R	S	S
Establish system through which complaints can be processed	I		I	S	R	R
Develop and maintain a registry of counselors			I		R	I
Monitor compliance		R				
Advocate compliance and publicize performance	S	S	S	R	R	

A = Approves

R = Is Responsible

S = Supports

I = Is Informed



The following questions and guidelines can be used to inform that discussion:

- » Are there major disagreements or differences of opinion about the list of key activities or allocation of responsibilities?
- » Are there important activities with too many people (or no one) in charge?
- » Are there apparent bottlenecks (i.e., do the same people have too many things to do)?
- » Do agreed procedures exist for making decisions when there is more than one decision-maker? For supervising activities that cross organizational lines, and for sharing information with those who need it?

The first rule of coordination should be to eliminate the need for coordination wherever possible and, where needed, to opt for the simplest approaches possible. In general, sharing information is easier than sharing resources, and sharing resources is easier than joint action. Seen in the context of the ORC, this suggests that it is usually more efficient for cells of the matrix to be empty than to be filled. This needs to be balanced, however, by the dictates of the particular task and by the requirements for transparency and democratic decision-making. The above ORC is loosely based on an experience in southern Africa and relates to establishing and implementing a Code of Conduct as part of a larger policy initiative on confidentiality regarding HIV testing.

## TASK 9

### Monitor, Learn and Adapt

Learning from wins and failure through tight feedback loops – accompanied by willingness and opportunities to make adjustments – offers the strongest approach to advancing policy and institutional reform. What

makes the monitoring of policy processes unique is that change happens over a long period of time in a complex environment. Monitoring must begin early in the process, with the establishment of goals for what one wants to achieve in a specific time period, along with an understanding of the complex causal pathways that may lead to those goals. Monitoring and the review of monitoring data should be regular. Perhaps most importantly, monitoring should be done in a credible and transparent manner to ensure widespread learning and maintain support for reform efforts. Of critical importance is creating avenues for feeding this information back to the public and to policy makers, and providing means for stakeholders to react to and input further data, thus informing and reinforcing other tasks in the reform cycle. Strategic communications efforts tailor messages and the choice of media platforms carefully to audiences to maintain support and neutralize opposition. Frequently, the news media, citizens' groups, and non-governmental organizations play important roles in monitoring and communicating results. Social media has taken on an increasingly important role in defining issues that are trending and tracking public opinion. In the reform process, supportive alpha users should be enlisted to harness social media's power, while virtual discussions can be examined to gauge support and opposition among various stakeholders. Finally, real opportunities to change course in response to monitoring data and feedback – based on clear, transparent criteria for making change -- must be built into the reform process.

It is important to track three aspects of policy and institutional reform: first, the process itself, from analysis through the forging of agreement to, crucially, implementation; second, the context, which will change as reform gathers momentum; and, third, the effects of reforms. Monitoring the policy process is important to keeping it on track and to assessing the usefulness of strategies used to promote reform. A straightforward tool is the milestone scale. Monitoring the political,

social, economic and/or physical context is essential because context affects achievement of outcomes through both objective effects and perceptions of those effects. Monitoring context can be done through less formal periodic qualitative analyses, such as updating the stakeholder analysis map described under Task 1, or more structured methods such as public opinion polls. At the same time, the monitoring of both actual and perceived impact is critical. Impact monitoring involves the capture of hard indicator data tied directly to the reform in question, with particular attention to access, utilization, timeliness, cost efficiency, satisfaction, and gender and other socio-economic differentials. It also benefits from the use of such additional tools as citizen report cards, community scorecards, and Most Significant Change.

- *TIPS: Monitoring the Policy Reform Process*. USAID offers guidance on monitoring policy reform, including tracking the reform process itself as well as the immediate effects of policy reform. The publication is particularly useful for its guidance on using milestone scales to track progress along key stages or milestones in the policy process. See: [http://pdf.usaid.gov/pdf\\_docs/Pnadw114.pdf](http://pdf.usaid.gov/pdf_docs/Pnadw114.pdf).
- *Citizen Report Card (CRC) Surveys*. Citizen report cards can be used for both context and impact monitoring at the macro level. CRCs are user or population feedback surveys that provide a quantitative measure of perceptions of the quality, efficiency and adequacy of different public services. They have been applied to numerous contexts in different regions. Beyond the process of executing a survey, CRCs involve efforts at dissemination and institutionalization. The World Bank provides guidance on how to develop such report cards. See: <http://siteresources.worldbank.org/INTPCENG/1143380-1116506267488/20511066/reportcardnote.pdf>.
- *Community Score Cards (CSC)*. These are used at the local/facility level with those directly affected by policies, programs, services, products or even particular government units, and facilitate not only monitoring of the quality of services/projects but also generating a direct feedback mechanism between providers and users. The World Bank provides guidance: <http://siteresources.worldbank.org/INTPCENG/1143333-1116505690049/20509292/CSCmanual.pdf>. This approach can also be applied to private sector operations, particularly those related to natural resource extraction, and operationalized through social media and mobile devices; see, for example, <http://www.policyinnovations.org/ideas/innovations/data/00297>.
- *Most Significant Change (MSC)*. Most Significant Change is a structured, yet flexible, approach to documenting the qualitative impact of policies and programs. Reformers can use MSC to collect detailed and well documented accounts of how policy reform has had positive impacts. See: <http://www.mande.co.uk/docs/MSCGuide.pdf>.
- *Gender Equality Indicator Toolkit*. The monitoring of every aspect of policy and institutional reform should be attentive to differential effects by gender and on marginalized groups. Identifying gender equality results, targets and indicators helps practitioners to integrate gender concerns into policies and ensure that they adhere to agreed upon global commitments to international human rights standards. This Asia Development Bank (ADB) toolkit provides process-related and sector-specific indicators for tracking gender equality results: <http://www.adb.org/documents/tool-kit-gender-equality-results-and-indicators>.

## Summary Table of APIC Tasks, Strategies and Tools

Task	Strategies	Tools
Analyze Problem and Political Economy	<ul style="list-style-type: none"> <li>Identifying a problem and its underlying causes</li> <li>Identifying the key actors who are likely to support or resist change</li> </ul>	<ul style="list-style-type: none"> <li>Political Economy Analysis</li> <li>Stakeholder Analysis Map</li> </ul>
Formulate Options	<ul style="list-style-type: none"> <li>Framing issues and reform options based on a detailed contextual understanding of what is politically possible</li> <li>Identifying solutions that are practical to implement and likely to have a significant impact</li> <li>Adapting or scaling up solutions that have worked elsewhere</li> <li>Proposing pilots to test innovations</li> <li>Identifying necessary adaptations to policy.</li> </ul>	<ul style="list-style-type: none"> <li>Solutions Map</li> <li>Rapid Results Approach</li> <li>Reform Complexity Checklist</li> <li>Scalability Assessment Tool</li> </ul>
Legitimate Change	<ul style="list-style-type: none"> <li>Raising awareness and questioning the status quo</li> <li>Identifying policy reform champions</li> <li>Creating new forums for policy discussion</li> </ul>	<ul style="list-style-type: none"> <li>Messaging Refinement Tool</li> </ul>
Negotiate and Adopt Solutions	<ul style="list-style-type: none"> <li>Getting the proposed change on the agenda of relevant decision-makers</li> <li>Bargaining and modifying the proposed change as needed to gain approvals</li> </ul>	<ul style="list-style-type: none"> <li>Process Mapping</li> <li>Managing Disputes and Building Consensus</li> <li><i>Getting to Yes</i></li> </ul>
Build and Maintain Constituency	<ul style="list-style-type: none"> <li>Supporting policy champions</li> <li>Mobilizing under-organized stakeholders or beneficiaries</li> <li>Dealing with realities of opposition; Sustaining the pressure for change</li> </ul>	<ul style="list-style-type: none"> <li>Stakeholder Analysis Map</li> </ul>
Realign and Mobilize Resources	<ul style="list-style-type: none"> <li>Identifying and obtaining seed and bridge financing from internal/external sources</li> <li>Negotiating with Finance and Budget authorities for a larger share of resources</li> <li>Promoting transparent budget processes and public expenditure reviews</li> <li>Developing partnerships/exchange with other ministries</li> </ul>	<ul style="list-style-type: none"> <li>Budget Spreadsheet</li> </ul>
Select and Strengthen Organizations	<ul style="list-style-type: none"> <li>Fitting new missions to old organizations or creating new organizations</li> <li>Building implementation capacity</li> <li>Fostering networks and partnerships</li> <li>Enhancing cooperation and coordination among implementing agencies</li> </ul>	<ul style="list-style-type: none"> <li>Institutional/Partner Selection Tool</li> <li>4Dimensional Organizational Development Approach</li> </ul>
Coordinate Action	<ul style="list-style-type: none"> <li>Developing concrete plans, performance expectations, and accountability</li> <li>Streamlining responsibilities; Creating and/or altering incentives</li> <li>Dealing with resistance and conflict</li> </ul>	<ul style="list-style-type: none"> <li>Organizational Responsibility Chart</li> </ul>
Monitor, Learn and Adapt	<ul style="list-style-type: none"> <li>Creating analytic capacity</li> <li>Establishing realistic performance standards and milestones</li> <li>Linking learning and operations</li> <li>Communicating success stories</li> </ul>	<ul style="list-style-type: none"> <li>TIPS: Monitoring the Policy Reform Process</li> <li>Citizen Report Card Surveys</li> <li>Community Score Cards</li> <li>Most Significant Change</li> <li>Gender Equality Toolkit</li> </ul>