Documenting and Supporting Policy Efforts and Impacts

Enhancing use of the academic performance review process in UCANR

The goal of this white paper is to provide clear and actionable guidelines for documenting and supporting policy efforts in UCANR through the academic performance review process. After providing an overview of the array of policy-relevant activities that ANR academics are encouraged to engage in, examples of performance review documentation are illustrated. It is hoped that this paper will support and incentivize specialists and advisors to consistently and intentionally articulate the policy components of their work, guide reviewers to evaluate and appropriately assign credit to policy-relevant work, and provide ANR leadership and communications experts easily identifiable instances of impactful policy work for dissemination to both internal and external audiences and stakeholders.

University of California
Agriculture and Natural Resources

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I. Introduction

The University of California Division of Agriculture and Natural Resources (ANR) has a long history of providing research that informs, builds and strengthens policy related to agriculture, natural resources, nutrition, and youth and community development in California and the nation. Public policy is essential for guiding, developing, sustaining, and improving local, regional, state, national, and international systems. Research is an essential ingredient in designing good public policy, and ANR is a key player in generating, translating and disseminating results of rigorous peer-reviewed research.

ANR academics at a Research to Policy Program Team meeting in late 2016 voiced the need for better ways to highlight and document the policy work we are already doing, as well as encourage and reward further policy engagement. This white paper documents and supports examples of policy impacts in ANR, and it builds upon the 2015 report by Gupta and Campbell. Gupta and Campbell highlighted case studies of impactful policy work within ANR and provided a preliminary roadmap for promoting research-to-policy efforts. Notably, many of us have already identified key information gaps in our own areas of research, where more effective communication of science could make real differences on public wellbeing via the policy formation and refinement process. At the same time, ANR has recently highlighted the importance of policy-related work in a USDA agency needs assessment, an agency which clearly shares goals with ANR. We have included the logic model for this needs assessment in an appendix, along with additions to more explicitly recognize the role of policy in affecting change.

The goal of this white paper is to provide clear and actionable guidelines for identifying, documenting, and supporting policy efforts in ANR. The objectives are three-fold:

1) To support and incentivize specialists and advisors to consistently and intentionally articulate the policy components of their work in their dossiers when eligible for merit or promotion;

2) To guide those reviewing dossiers in methods to evaluate and assign credit to policy-relevant work; and
3) To provide ANR leadership and communications experts a feasible way to identify examples of impactful policy work for dissemination to both internal and external audiences and stakeholders.

The intended outcome of this effort is a greater number of ANR academics who are recognized and receive credit for policy-relevant research as well as increased dissemination of policy outcomes and impacts that demonstrate ANR's value to the state and nation. This effort is critical to achieving ANR's vision of healthy people and communities, healthy food systems, and healthy environments. Creating a consistent and clear way to identify, document and recognize policy-relevant research and impacts will enable ANR to track progress more effectively. Ultimately, this documentation will provide quantifiable markers toward achieving the strategic objectives related to research and extension as articulated in the 2025 ANR Strategic Vision. At the time of the writing of this white paper, ANR is undergoing a 2016-2020 strategic planning process in which it is anticipated that Cooperative Extension (CE) research to policy efforts and outcomes will be included.

There are several caveats to consider in the performance review process. Some ANR academics may be doing policy-relevant work and not realize it, while others may be actively engaging in it but are not clear how to characterize or quantify it. In either case, this white paper is intended to provide clarity on activities and outcomes for those engaging in policy-relevant research. It does not imply, however, that policy-relevant work is required for successful promotion or merit reviews. Second, we acknowledge that the performance review process for campus-based CE Specialists typically differs from that of ANR-based academics. We hope that this white paper will serve as a roadmap for campuses to consider in documenting, reviewing and evaluating dossiers of campus-based CE Specialists.

II. ANR and Policy Development: Defining Our Policy Work

Defining Policy

Policy in its broadest sense may be defined as a statement of intent or deliberate system of principles to guide decisions to achieve desired outcomes. Policies are typically instituted to avoid some negative effect observed, or to seek some positive benefit. Policies may address the intent of an organization – government, business, professional, non-profit, or less formal group of individuals. Policies inform decision-making – the choice between alternatives based on the values and preferences of decision-maker(s).

Policies vary in scale and scope. ANR academics work on policy issues at local (i.e., county or city), state, federal and in some cases international levels. Many ANR personnel serve on regional, national, and international committees addressing policy outcomes. In a number of cases, our impact on local-level policy, while small in geographic scope, is significant because it sets precedent for policy elsewhere. In 2015 56.6% of the 90 advisors and specialists responding to a survey (out of a total of approximately 330 statewide) reported that they were engaged in research/creative activities that may have direct impact on public policy (Gupta 2015). Additionally, 93.3% reported an interest in public policy engagement.

ANR academics and staff engage with both public policy-making as determined by governmental decision-making processes (i.e., "big P") as well as with the policies of industries and organizations such as marketing boards, corporations or NGOs (i.e. "little p"). An example of ANR's involvement in "big P" work is the crafting of federal food safety regulations while an example of "little p" work is support for various workplaces to development wellness policies and healthy food environments.

Examples of the ANR-Policy Interface

To understand how ANR interfaces with different levels in policy-making, it is helpful to use a traditional framework for understanding the stages of the policy process (**Figure 1**). This model describes a *process* that plays out over time in more or less predictable stages. The framework is useful in particular because it identifies multiple points at which research might inform or influence the policy process (**Table 1**). This framework allows for a broader and more encompassing description of the "policy work" that we do within ANR (Jones 1984[1]).

Table 1. Key Tasks at each Stage of the Policy Process

Stage	*Typical Tasks*
Agenda Setting	• Create public awareness • Mobilize support • Build coalitions • Provide information to decision-makers
Formulation	• Craft legislative language • Develop proposed orders, laws or rules • Negotiate alternatives
Legitimation	• Formal decision-making by proper authorities • Create goals and identify means for achieving
Implementation	• Resource allocation • Policy actions • Navigating regulatory environment
Evaluation	• Impact assessment • Process evaluation • Recommendations for revisions to policy

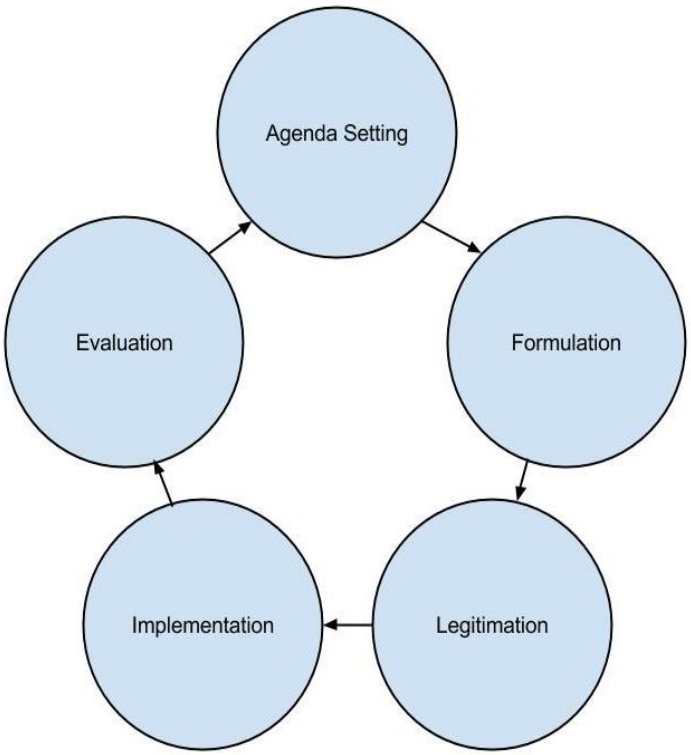


Figure 1. Policy process stages

[1] Jones, Charles. *An Introduction to the Study of Public Policy*. Belmont, CA: Wadsworth, 1984.

One can frequently draw a definitive line from research to policy formulation. Case studies of successful research-to-policy impacts within ANR (Gupta & Campbell, 2016[2]) suggest that researchers who create policy impacts make use of multiple points of entry into the process at multiple jurisdictional levels. **Table 2** highlights examples that demonstrate ANR engagement at the five stages of the policy process. A key lesson from these cases is that accurate evaluation of policy impacts requires a more holistic look at the policy process, and a systems thinking reframing of research-to-policy translation.

Policy outcomes are understood generally as the mobilization of project outputs into tangible policy-related actions, usually undertaken by end users either with or without the collaboration of a project team. The project outputs and policy outcome examples listed in **Table 2** by topic area (agriculture, natural resources, nutrition, and youth development) demonstrate the range of policy outcomes the ANR Competitive Grants Program had generated during the 2015 study period (Gupta & Campbell, 2016), supplemented with several additional examples. Our cases demonstrate the need to think beyond a list of project outputs if we are to consistently and intentionally articulate the policy components of our work. There are significant challenges within our current merit and promotion system in tracking these efforts, which often extend beyond the scope of grant timelines or in many cases, the merit and promotion review period. We offer next steps to overcome these challenges in the following sections and appendices, including: a) review and possible adaptation of currently required position descriptions and dossiers, b) new approaches for characterizing policy-related program activities (Appendix C Frameworks and Models for Evaluating Policy and Appendix D Ripple Effect Mapping for Extension), c) ANR Project Board design development (Appendix E Project Board Changes), and d) considerations regarding lobbying and advocacy (Appendix F Distinguishing Advocacy vs Lobbying).

[2] Gupta, C. & Campbell, C. (2016). Assessing the policy impact of the ANR Competitive Grants Program: findings and recommendations. Department of Human Ecology, UC Davis.

Table 2. Examples of Project Outputs and Policy Outcomes

Project/ Effort	Output	Delivery Method	Policy Outcomes	Policy Process Stage(s)
Agriculture				
Urban Agriculture	UA web portal UA Policy brief Implementation guide for AB 551 (Urban Agriculture Incentive Zones)	Urban agriculture advocates deliver information from Urban Ag Portal to city and county level policymakers	Governmental support for local urban ag ordinances; adoption of AB 551	Agenda Setting Legitimation Implementation
Co-management of food safety and ecosystem services in fresh produce	Info sheets on co-management Online training modules, videos on co-management for food safety and conservation	Farmers use info sheets in conversations with food safety auditors to explain and legitimate on-farm co-management strategy	Co-management language incorporated into the Food Safety Modernization Act (FSMA)	Implementation Formulation Legitimation
Asian Citrus Psyllid	Geospatial map of disease prevalence; economic analysis of disease costs	Engagement with Citrus Board, CDFA and local task forces	*Ongoing project* (likely to impact state prioritization of funding for disease control)	Agenda Setting
Los Osos Sewer, San Luis Obispo County*	County of SLO successfully received approval for the project from the California Coastal Commission with agricultural reuse as a part of the proposed project, as well as nearly one-half of the needed funding for the project.	Public meetings of the local Planning Commission, individual meetings with members of the SLO County Board of Supervisors, Planning Department and Agricultural Commissioners staff; California Coastal Commission	Municipal source waters evaluated to determine projected effluent water quality from the proposed sewer treatment plant and its suitability for agricultural re-use, and evaluated specific sites for their suitability for agricultural reuse of effluent water	Agenda Setting Legitimation Implementation
Natural Resources				
Soil survey decision support tools	SoilWeb app (decision-support tool, provides info about soil qualities)	Engagement with NRCS (and possibly with growers, state water boards and other state agencies)	*Ongoing project* (likely to impact state zoning and conservation program implementation)	Implementation

Project/ Effort	Output	Delivery Method	Policy Outcomes	Policy Process Stage(s)
Groundwater Banking	*Ongoing project* (provide evidence of groundwater banking effectiveness)	*Ongoing project* (TBD)	*Ongoing project* (likely to impact implementation of Groundwater Management Act)	Implementation
Interpreting the Value of Working Landscapes	Info sheets on benefits of rangeland grazing in parks	Partner with park staff on signage to educate public on value of cattle grazing in parks	Policy of grazing on public lands is maintained	Agenda Setting Implementation
Disturbance and vegetation dynamics in northern California oak woodlands	Dataset on disturbance and vegetation dynamics in northern California oak woodlands	California Board of Forestry uses datatset to campaign for rule amendment to address conifer encroachment	State legislature made two rule changes and AB 1958 passed and the Board of Forestry created two new permit options to facilitate oak woodlands restoration	Agenda Setting Formulation
Creek Carbon Restoration	Dataset on carbon sequestration dynamics of creek restoration and conservation	Partnerships with local government actors to use data to inform local climate plans	Conservation work put into county climate plans; path to develop state-level protocol for GHG mitigation (AB 32)	Agenda Setting Formulation Implementation
Informing Sierra Nevada Forest Restoration	Dataset on historical forest conditions	Partnerships with Forest Service; engagement with NGOs	*Ongoing project* (likely to impact development and implementation of Forest Service restoration policy)	Formulation Implementation
Oak Woodlands Ordinance, San Luis Obispo County*	Evidence-based language for the ordinance	ANR Advisors and UC Berkeley Specialist provided local research and extension history to County Planning Department and Planning Staff	Board of Supervisors approved Ordinance	Implementation, Formulation, Legitimation
Nutrition				
Shaping Healthy Choices	Integrated school wellness program	Formal presentations of results (task forces, conferences); Informal sharing of results through relationships within Ed policy networks	School wellness advisory councils; Dept of Public Health roll-out of Shaping Healthy Choices program in other school districts (pending)	Implementation Evaluation

Project/ Effort	Output	Delivery Method	Policy Outcomes	Policy Process Stage(s)
Nutrition environments in California childcare*	Reports, journal articles, policy briefs, presentations, and testimony on evidence showing need for childcare beverage standards and childcare provider training on the standards	Conducted statewide surveys of childcare sites initially to inform beverage policy and subsequently its impacts and need for additional support for implementation, Interviewed stake-holders in policy implementation, Hosted convenings to identify policy next steps	California passed two laws (AB 2084 and SB 290) to establish beverage standards in childcare and to mandate that all newly licensed childcare providers receive 1 hour of training on child nutrition, including the beverage standards	Agenda Setting Formulation Legitimation Implementation Evaluation
Youth and Community Development				
Putting Youth on the Map	Putting Youth on the Map mapping tool	East Oakland Building Healthy Communities organizers use mapping tool for youth mobilization around Prop 47	Informs planning efforts around crime prevention allocation from Prop 47 Implementation (converts non-violent offenses to misdemeanors)	Agenda Setting Implementation

* Additions to the 2015 ANR Competitive Grants Program

Informing Policy Versus Lobbying

As academics consider policy components, concerns may arise over whether these activities might constitute advocacy or lobbying. ANR academics should maintain sensitivity to highly partisan or political issues in order to maintain the UC brand as a nonpartisan, neutral, and science-based organization. Academics working on policy issues in their official capacity should consider multiple policy approaches that can appeal across the political spectrum. For example, policy work should include discussion of a range of policy approaches such as voluntary education efforts, free-market oriented policies, regulatory and even deregulatory approaches to policy. **Appendix F** provides basic definitions and guidelines about ANR's perspective on advocacy and lobbying, as well as ANR contacts for further information.

III. Roadmap for Recognizing and Valuing Policy Effort

Our objectives are to support specialists and advisors to consistently and intentionally articulate the policy components of their work when up for review and to guide those reviewing dossiers in methods to evaluate and assign credit to policy-relevant work. The first steps involve those tools currently required of academics to articulate their positions and demonstrate their efforts - the Academic Position Description and the Program Review Dossier - and how these can be adapted to identify effort in the policy landscape and draw attention to policy outcomes and impacts.

Academic Position Description Review

A current and accurate position description is an important piece of the merit and promotion dossier. During the merit and promotion cycle, clear directions are provided to review committees to evaluate effort in light of the position description. When appropriate, language that reflects programmatic focus on policy contributions (efforts that help cause a policy outcome) and/or attributions (efforts that cause a policy outcome) should be included in position descriptions. This becomes most important when policy outcomes result years after the programmatic effort occurred.

Knowing what and where to include language requires recognition of the policy stages, related activities, tasks, or processes and supporting examples of outputs, outcomes, and impacts (**Appendix A**). For example, Agenda Setting can be demonstrated through extension of research results that provide a rationale for policy change. Academics can demonstrate efforts to promote clientele awareness of important issues in extension products (e.g., newsletters, blogs, popular articles, extension presentations, media quotes). Many ANR academics actively participate in Implementation through efforts to help clientele navigate regulatory environments.

Broadly, academics within ANR are directed to develop and implement effective applied research and educational programs to address the identified priority needs of the clientele that are consistent with ANR's Strategic Vision (ANR Academic Position Description Template 2017). The limited language included in the Template regarding policy notes that academics "should foster an increased understanding of Cooperative Extension's research and education programs in clientele, the public and policymakers." We would suggest that academics consider whether policy outcomes are likely to occur in any of the major categories of the position description, including Academic Program Major Responsibilities, Program Leadership and Business Operations Duties, and Affirmative Action. Examples of policy stages, tasks and outcomes are provided in **Appendix A**.
To provide clearer examples of potential policy contributions and attributions, we recommend review and adaptation of the ANR Academic Position Description Template. Recommendations for review and adaptation are included in **Appendix B1**.

ANR E-Book Guidelines for Preparing a Program Review Dossier

Recognition of policy engagement in the Academic Position Description may help improve the ability to document policy efforts and outcomes in the merit and promotion dossier. Policy outcomes may be clearly intended on the front end of some extension and creative efforts, but in others policy outcomes or changes may not be a predicted outcome of effort. The research on the nutrition environments in California childcare (**Table 2**) are examples of activities with intended policy outcomes. In contrast the ANR Farm Water Quality Program, developed in 1999 to address water quality impairment from irrigated agriculture, resulted in policy guidance for co-management of on-farm environmental and food safety goals in the 2011 Food Safety Modernization Act (**Table 2**). Many logic models, including the USDA-National Institute of Food and Agriculture model shown in **Appendix D**, reflect limited and narrowly defined policy efforts. A greater emphasis on how to develop logic models that include the broad array of entry points demonstrated by ANR efforts would support academic efforts and reporting. Behavior change or improved social, economic, or environmental conditions as a result of

Federal rule-making processes may not occur for years or even decades, well outside conventional merit or promotion review periods.

Current E-Book language (**Appendix B2**) does not provide examples that would help academics demonstrate policy efforts or outcomes, or develop logic models that fully incorporate policy efforts. We would suggest including **Appendix A** "A Framework for Documenting Public Policy and Community Development Activities and Outcomes of ANR Advisors and Specialists" in the E-Book Guidelines for Preparing a Program Review Dossier. Language and/or supporting tables should be provided that demonstrate policy and or policy outputs and impacts, including examples. **Appendix B** provides one example of how policy efforts can be highlighted in a dossier.

Moving Beyond Activities to Impacts: Existing Models for Evaluating Policy Work

While documenting ANR's policy activities is an important first step, it is also critical that we effectively evaluate the impacts of those activities. Measuring medium-term behavior change outcomes and long-term condition change outcomes is necessary to show policy impact, albeit difficult and time consuming. Evaluating CE impacts is also challenging given the diversity of programmatic scope and delivery methods, and the complex accountability, funding and staffing structures (Franz & Townson, 2008)[3]. Coupled with policy evaluation challenges is the fact that while CE academics are experts in diverse scientific disciplines, the majority are unfamiliar with the policy process, and are uncertain about their role -- "where to position themselves on the continuum between pure science and engaged advocacy" (Gupta & Campbell, 2016. p. 4).[4] Nevertheless, CE needs to move beyond measuring policy activities to evaluating the outcomes of the policy work to improve the perceived public value of CE programs.

[3] Franz, N.K., & Townson, L. (2008). The nature of complex organizations: the case of Cooperative Extension. *New Directions for Evaluation*, 2008 (120) 5-14.

[4] Gupta, C. & Campbell, D. (2016). Assessing the policy impact of the ANR Competitive Grants Program: findings and recommendations. Department of Human Ecology, UC Davis.

A search of the literature and a discussion with nationally recognized CE evaluation expert Nancy Franz found that there are not policy specific evaluation models being used by CE to measure policy change. However, the commonly used theory of change framework with the respective logic model tool provides a relevant and familiar approach. In addition, the newer tools of Ripple Effect Mapping (**Appendix D** Ripple Effect Mapping for Extension) and Social Network Analysis could be useful. An understanding of criteria for good policies and programs is also important (**Appendix G** Criteria for Good Research-to-Policy Efforts). Lastly, earlier work on Public Issues Education offers additional useful guidance that could be further explored. For those interested in exploring in greater detail evaluation metrics for their own policy work or that of their colleagues, an overview of each of these tools is provided in **Appendix C** Frameworks and Models for Evaluating Policy.

IV. Conclusion

The mission of CE is to advance agriculture, the environment, human health, and community well-being by supporting research, education, and extension programs at land-grant universities such as UC and the many organizations partnered with it (https://nifa.usda.gov/extension). While traditionally CE has focused on providing direct education and practical information to agricultural producers, small business owners, consumers, families, and young people, it is becoming increasingly common for academics to also provide evidence-based information and expertise to policy and decision-makers. This roadmap to guide academics to document their policy efforts and impacts, and to guide reviewers to recognize and reward these contributions, is one step in supporting and enhancing this policy-relevant work.

In the near term, discussions will continue with ANR Human Resources and the Academic Assembly Council Personnel Committee to provide clear definitions and guidance on expectations regarding policy components, how they should be incorporated into the Academic Position Description, where applicable, and how they can be reported in merit and promotion dossiers. These steps will provide support to academics as well as to the reviewers of program dossiers during the merit and promotion cycles. In the long term, we anticipate these internal changes will encourage ANR academics to connect their research and extension programs to various public policy realms in an environment that now more than ever has a pressing need for sound, evidence-based guidance from trusted sources such as UC.

APPENDIX A: A Framework for Documenting Public Policy and Community Development Activities and Outcomes of ANR Advisors and Specialists

Purpose of the framework:

- to articulate examples of extension activities and outcomes in the areas of public policy and community development;
- to help specialists and advisors in preparing their merit and promotion packets;
- to enable ANR to more fully and robustly report on its activities and outcomes;
- in doing all of the above, to legitimate areas of ANR work that has historically been undervalued or inadequately articulated in merit and promotion and reporting processes.

Considerations:

- The activities identified might be undertaken by advisors and specialists in any ANR programmatic area;
- Community development is often a precursor to, or result of, public policy work and cuts across all ANR programmatic areas; thus activities related to both community development and public policy are highlighted;
- The tables below present a list of examples intended to help specialists and advisors in articulating their public policy and community development work, but it is not inclusive of all potential activities and outcomes in these areas, nor is it a requisite checklist of "must do" items to be added to already full agendas;
- Many of the activities and outcomes—particularly in the area of relational work—could easily be listed under both of the two areas (public policy and community development), but for simplicity we have limited the amount of overlap.

Public Policy Related Activities

Policy Stage	***Examples of Policy-related Activities, Tasks, Processes***	***Examples of Associated Outputs/Outcomes/Impacts***
Agenda Setting	● Create public awareness/get issue on agenda ● Build relationships/mobilize support/participate in or lead coalitions ● Provide relevant information to decision-makers ● Prepare white papers, policy briefs, etc. ● Conduct research to identify high priority issues for policy decision-making	● Articulate needs, get them on the table ● Demonstrate through research results the rationale for policy change ● Shift attitudes, frameworks and ways of thinking that undergird policy systems and institutional/organizational practices ● Influence the culture of an organization (mission, values, vision, world view)
Formulation	● Craft legislative language, regulations, rules or ordinances, etc. ● Participate in debates and negotiations over alternatives, helping to expand or narrow options ● Equipping decision makers with the data they need to develop successful policies	● Problem solutions crafted ● Research based information contributes to and/or influences the content of proposed rules and regulations ● Changes in a local, state or federal law, agency or regulatory framework
Legitimation	● Inform the creation of specific goals and identify means for achieving them ● Monitor and assess formal decision-making by proper authorities ● Educate stakeholders about policy changes	● Enactment of bills, regulations, rules, ordinances, etc. ● Consensus built among those with competing agendas ● Better informed stakeholders and citizens
Implementation	● Inform options about the best strategies to implement new programs Inform resource allocation options and choices ● Inform policy or regulatory compliance options and actions ● Monitor intended or unintended impacts	● Influence content of implementation rules and/or maintenance of a policy; ● Influence distribution of resources to solve problems ● Influence regulatory processes or enforcement actions
Evaluation	● Conduct formal/informal impact assessment ● Conduct formal/informal process evaluation ● Develop evidenced-based recommendations as to why existing policies/programs should be continued, revised, or eliminated	● Inform next round of policy decision making ● Create greater efficiencies in use of public and private resources ● Best practice recommendations

Community Development Related Activities

Community Function	***Typical Extension Activities***	***Potential Outcomes/Impacts***
Community Building	● Collaborating with and/or facilitating the process for people and groups with different agendas ● Relationship building that sets the state for later collaborative partnerships or that builds bridges with end users of research extension programs ● Maintaining, extending, or deepening relationships with key stakeholders, elected officials, funders, etc. ● Connecting with, leading, or facilitating new or established networks ● Informal interviewing to become knowledgeable about community resources and issues ● Becoming known and trusted for a body of work and for particular areas of expertise ● Helping forge constructive debate and community consensus ● Building respect and confidence in the local CE office and/or programs ● Activities that maintain awareness of and openness to changes in community and clientele ● Coordinating, facilitating, and/or speaking at public events ● Serving on community boards ● Enhancing the ability of individuals or groups to more fully participate in public processes	● Participation in community events and processes of governance comes from a broad cross section of the community ● Consensus reached on contentious issues ● Improved group cohesion, ● Improved capacity/capacity building ● Development of confident, informed, and equipped leaders
Information Brokering	● Synthesis and communication of existing data ● Translating scientific language to communicate in public settings ● Bringing new officials or agency representatives up to speed after turnover ● Timely dissemination of information on key community issues/topics ● Sustained projects that focus on extending and applying research findings ● Helping citizens and citizen organizations navigate community networks or the policy process ● Sharing one's own expertise ● Evaluating the quality of information from other sources ● Helping clients develop/generate new information	● Deliberations and decision making is based on well-informed participation ● Community issues and problems are assessed systematically and holistically ● Decision makers have timely, relevant information

Community Function	***Typical Extension Activities***	***Potential Outcomes/Impacts***
Community-based research	● Targeting/filling information gaps ● Focused research that improves the quality of decisions ● Research that documents or evaluates the process and outcomes of locally important programs or initiatives ● Helping identify community resources ● Identifying and applying existing data ● Collaborating with others to gather new data ● Co-publishing with community members	● More informed local leaders and citizens/residents. ● Asset-based solutions implemented ● Research skills and capacity more broadly distributed
Entrepreneurial skills	● Developing proof of concept pilot projects ● Mimicking project or program designs from successes elsewhere ● Creating strong teams ● Seizing timely opportunities ● Taking risks to solve problems ● Creating workarounds that get the goal accomplished ● Inventive program development and marketing ● Follow-through to implement solutions ● Mentoring/developing community leaders ● Helping develop businesses or other economic development opportunities	● Responsiveness in a timely fashion to community needs ● Flexibility in adapting programs to local realities in order to meet needs ● New business or program opportunities seized

APPENDIX B. Adaptations to Position Description Template & Dossier

B1 The ANR Academic Position Description Template 2017 currently provides flexibility in defining program specifics, notably "You are encouraged to modify the information in the template as needed in order to capture specifics of your position." We are suggesting that academics consider whether policy outcomes are likely to occur in any of the major categories of the position description, including Academic Program Major Responsibilities, Program Leadership and Business Operations Duties, and Affirmative Action.

If this step is of merit, then the following are next steps:

- Who would be involved in developing language, review, and approval?
- Where would these efforts fit in the expectations for ANR academics at different ranks and steps?
- How can this effort avoid negatively impacting programs where policy tools or policy impacts are unlikely to occur?

B2 The E-Book Guidelines for Preparing a Program Review Dossier includes an outcome/impact type for policy (page 22): *Change in policy or decision-making (science-based information applied to decision-making or results from policy engagement).* Furthermore, it includes language (page 51) to help with determining impacts, and suggests academics ask themselves questions including:

- What social or economic benefits were derived?
- How did clientele attitudes or practices change?
- How did your efforts enable the public or clientele groups to make more informed decisions?
- How has your work been adapted or extended by others to benefit people beyond your clientele?
- What impact did publications or other extension products you produced have on the public or your clientele?
- What are the affirmative action implications of your work?

While these can help identify impacts, additional language and examples would support capture of the various and time consuming stages in policy development. We would suggest adding examples that demonstrate the stages, as are demonstrated in Table 2 and Appendix A of this white paper. For example, the E-Book suggests the following: "For

projects that are in progress or long term in nature, state what difference you anticipate making. For example, "We expect that 70% of growers will use our information to comply with state standards." This language could acknowledge current efforts in agenda setting, formulation, and legitimation that represent important steps in policy impacts. These steps likely take significant time and effort in creating the information needed to comply with state standards, and may not acknowledge ANR effort that went into the state standards themselves.

An example of how the policy process stages could be incorporated and identified in a dossier is below.

ANR ANNUAL EVALUATION (Selected excerpts)

SECTION A: SELF-ASSESSMENT/NARRATIVE

I. PROGRAM SUMMARY NARRATIVE (Policy relevance: Evaluation underlined)

One of my accomplishments has been completing analyses for the NHLBI-funded Healthy Communities Study (HCS) on the relationship between characteristics of community programs and policies and child obesity over the past 10 years. This 6-year study, in collaboration with researchers at NIH, Battelle, the University of Kansas, and the University of South Carolina, involved collecting data from 130 diverse communities across the nation including dietary intakes of over 3000 children in grades K-8. I presented results of this study at several professional meetings (***Table IIb***), and finalized a paper that was submitted to a peer-reviewed journal (currently being revised per reviewer comments). We found that more intense community programs and policies (defined as those that used stronger strategies, reached more children and were for a longer duration) were related to less frequent intakes of energy-dense foods of minimal nutritional value (i.e., 'junk food'), and that higher intakes of healthy foods, such as fruit, vegetables and lower fat milk. This study stands to be the first and largest of its kind to identify program and policy efforts that communities should institute to reverse the child obesity epidemic.

SECTION B: TABLES

I. PROJECT SUMMARY TABLE (*Policy-relevance: Evaluation)

Project Title / Duration	Role	Collaborators (with affiliation)	Support	Support Source
Evaluation of Current Childcare Nutrition as a Baseline Prior to Implementation of New CACFP Regulations* 1/16 – 6/17	PI	[redacted] • [redacted]	$[redacted]	Robert Wood Johnson Foundation, Healthy Eating Research

II. EXTENSION ACTIVITIES

a. Meetings Organized (*Policy relevance: Agenda setting)

Begin Date-End Date	Meeting Name and Type	Topic/no. of repetitions	Role	Location(s)	No. of Attendees
4/13/16*	Seminar	Dietary Guidelines/1	Co-hosted, along with the Berkeley Food Institute, talk by Angie Tagtow, ED, Center for Nutrition Policy and Promotion, USDA	Berkeley	~30

b. Educational Presentations (*Policy-relevance: Implementation)

Begin Date-End Date	Meeting Name/Event	Presentation Topic/ no. of repetitions	Location(s)	No. of Attendees
7/20/16*	USDA Baylor Center for Innovations in WIC Nutrition Education grantee meeting	Online Nutrition Education: WIC in the 21st Century (oral presentation)/1	Washington, DC	~50

c. Other, including websites, social marketing, blogs, collaborations with other agencies or organizations, policy engagement (*Policy-relevance: Community Building)

Begin Date-End Date	Description	No. of Instances
1/29/15-Ongoing*	Facilitate relationships between clientele partners with different agendas related to address Assembly Bill 290.	4 meetings organized by partners and several interviews

III. PROFESSIONAL COMPETENCE AND ACTIVITY

a. Professional Development and Training (*Policy-relevance: Agenda setting)

Begin Date- End Date	Location	Name and/or Description of Activity
5/6/15*	Sacramento	ENACT Nutrition and Physical Activity Day 2015 (forum for learning about proposed state policies and network with leaders and advocates)

b. Disciplinary Society /Prof. Association (*Policy-relevance: Formulation)

Disciplinary Society/Prof. Assoc Name	Membership/Meetings – Attended/Activities
National Academy of Medicine*	Invited reviewer of report by the Committee to Review WIC Food Packages: Improving Balance and Choice.

IV. UNIVERSITY AND PUBLIC SERVICE (*Policy-relevance: Agenda setting)

a. University Service – List university service activities

Begin Date-End Date	Activity	Org Level	Your Contribution and Leadership Role
1/15-present*	Presidents United to Solve Hunger (PUSH) Initiative	UCOP ANR	Appointed by UC President Napolitano to be UC liaison

b. Public Service – List public service activities (*Policy-relevance: Legitimation)

Begin Date-End Date	Activity	Org Level	Your Contribution and Leadership Role
5/14-1/15*	Consultation on California Assembly Bill 290 Working Group	state	Advise on curriculum content for 1 hour nutrition education required for newly licensed child care providers beginning in 2016

V. BIBLIOGRAPHY (*Policy-relevance: Evaluation)

Publication Type	Bibliographic Citation
Peer-reviewed journal article*	**Ritchie et al.** School breakfast policy is associated with dietary intake of fourth- and fifth-grade students. J Acad Nutr Diet 2016;116:449-57.

APPENDIX C. Frameworks and Models for Evaluating Policy

Theory of Change and Logic Models

The literature on policy change frameworks explains that over the past ten years there has been "growing interest from evaluators, funders, and advocates to evaluate advocacy and policy change efforts." In response "the field of advocacy and policy change evaluation has grown, and theories of change continue to serve as bedrock for evaluative efforts." Theories of change may or may not be explicitly stated; but, when articulated they can be especially effective roadmaps to clarify expectations and facilitate more effective evaluation (Stachowiak, 2013).[5]

The theory of change and associated logic model are a commonly utilized framework in the evaluation of Extension programs, as well as used by numerous other organizations and evaluators (Braverman & Engle, 2009).[6] A theory of change, also often referred to program theory, is the explanation of how a program is intended to work and realize the desired outcomes. A logic model is a visual illustration that puts the basic elements of a program in a logical, linear order to describe the assumptions of the if/then relationships. The exact format and components of logic models can vary but basically include inputs, outputs (activities and products), and outcomes. Within the larger program chain of connections, outcomes fall along a continuum from shorter- to longer-term to form an "outcome chain" to illustrate the theory of change's assumed progression of outcomes (University of Wisconsin-Extension, 2003).[7] The outcome chain is the backbone or driver of the logic model.

For ANR, Gupta and Campbell (2016) chose to use a traditional framework for understanding the stages of the policy process (see section above), given it allows for a broader and more encompassing description of the policy work. Tsui (2013) describes this as the linear process, which was inspired by Laswell (1956). The linear process aligns well with the logic model – new knowledge is created to inform policy, awareness of issue is gained, decision are made, then when the policy is evaluated the intended condition (social/health, environmental, economic) change that results from the policy is

[5] Stachowiak, S. (2013). Pathways for change: 10 theories to inform advocacy and policy change efforts. Center for Evaluation Innovation.
[6] Braverman, M. & Engle, M. (2009). Theory and rigor in Extension program evaluation planning. *Journal of Extension*. 47(3).
[7] University of Wisconsin-Extension. Enhancing program performance with logic models. Feb.2003. Retrieved from https://fyi.uwex.edu/programdevelopment/files/2016/03/lmcourseall.pdf.

measured. Thus, this theoretical framework for the policy process and stages where CE can affect change aligns well with the linear model of the theory of change and logic model.

Tsui further discusses a "useful policy-influence framework of *eight policy outcomes* under which all policy changes can take place. Tsui (2013)[8] pulls from Keck and Sikkink (1998) and Steven (2007) in delineating the eight policy outcomes. These overlap with the theory of change and logic model, and provide useful questions to help Extension professionals to think about the policy changes resulting from their work, at one or more phase in the policy change process.

1. **"Attitudes"** of key stakeholders to get issues onto the agenda: How interested and open are policy actors to your issues? What kind of evidence will convince them?
2. **Public opinion**: How are the public engaged in these issues?
3. **Capacity and engagement** of other actors: Who else is engaging in this policy area? How influential are they? What can be done to involve others or build their interest?
4. **Change in discussions** among policy actors and commentators: What are the influential policy actors saying on this issue? What language are they using?
5. **Improvements** in policy-making procedure/process: Who is consulted during policy-making? What kind of evidence is taken into account?
6. **Change (or no change)** in policy content: What new legislation, budgets, programs or strategies are being developed?
7. **Behavior change** for effective implementation: Who is involved in implementing targeted policies? Do they have the skills, relationships, incentives to deliver?"
8. **Networks and systems** for supporting delivery of change: Are different actors working coherently together to implement policy? Are the necessary structures and incentives in place to facilitate this?

Tsui (2013) explains that many research program consortia focus their policy impact evaluation on the mid-term and end-of-program reviews. Similarly, ANR's merit and promotion and reporting systems emphasize capturing policy specific outcomes, which are called out between medium and long-term so as to highlight the range of impact policy outcomes.

[8] Tsui, J. (2013). The effectiveness of measuring influence. GSDRC Applied Knowledge Services Helpdesk Report. Retrieved from http://www.gsdrc.org/publications/the-effectiveness-of-measuring-influence/.

Tsui (2013) also describes how evaluators recommended the RPCs focus on assessing "the contribution to change rather than direct attribution." Policy objective and impacts may often take a long time after interventions to be realized, thus it is difficult to attribute change. ANR trains Extension professionals to explain how their work "contributes" to policy impact, sometime called safe inference, so as not to overstate Extension role given the complexity of the issues and policy process.

Finally, given the complexity of policy outcomes, qualitative methods are often needed in the evaluation. Success/impact stories and case studies are well suited means to document and communicate policy impact. A variety of evaluation data collection methods can be used to gather the qualitative data, including "most significant change" or "stories of change," or "outcome mapping" as tools/processes to capture the outcome information. Theory of change and the logic model can help make sure the stories articulate how Extension methods link to specific, measureable outcomes and impacts and how those link back to the policy issues.

Ripple Effect Mapping

Extension institutions across the country, including Washington State University Extension, University of Idaho Extension, University of Minnesota Extension, North Dakota State University, South Dakota State University, and ANR, have used Ripple Effect Mapping (REM). Ripple Effect Mapping is a participatory group method that engages stakeholders to visually map the chain of effects resulting from a program or complex collaboration. The REM process combines elements of Appreciative Inquiry, mind mapping, group interviewing, and qualitative data analysis.

This evaluation tool seems well-suited to policy work in particular, for the following reasons:

- "Particularly well suited for complex interventions and collaborations," and in addition for the following reasons" and "engages participants and others to produce high-quality evaluation data and increases the likelihood of future collective action (Kollok, Flage, Chazdon, Paine, & Higgins, 2012). [9]
- "Respectful attention to context" (Greene, 1994) [10]

[9] Emery, M., Higgins, L., Chazdon, S., & Hansen, D. (2015). Using ripple effect mapping to evaluate program impact: choosing or combining the methods that work best for you. *Journal of Extension*. 53(2).
[10] Greene, J.C. (1994). Qualitative program evaluation: practice and promise. Denzin, N.K. and Lincoln, Y.S. (Eds.). *Handbook of qualitative research*. Thousand Oaks, CA: Sage. 530-544.

- "Well suited for the complex evaluation situations we often face in Extension work (Patton, 2011)."

Some helpful resources and examples of the use of Ripple Effect Mapping include:

- A field guide about REM from the University of Minnesota: www.lib.umn.edu/publishing/monographs/program-evaluation-series
- ucanr.edu/sites/Social_Capital_Multi-State/Training_and_Technical_Assistance/
- ucanr.edu/sites/Social_Capital_Multi-State/Tools_for_Engagement_-_Evaluation/
- ucanr.edu/sites/Social_Capital_Multi-State/files/224104.pdf

Network Framework and Analysis

The Network Functions Framework about policy change ascertains that it occurs when multiple networks overlap in their advocacy methods. Five types of networks are outlined: 1) knowledge management; 2) amplification and advocacy; 3) community-building; 4) convening; and 5) resource mobilization (Tsui, 2013). This framework may be useful for Extension to evaluate policy impact given it considers the roles in the policy change process, specifically those that Extension has clear engagement -- knowledge management, community building, and convening.

Tsui's (2013) work on the effectiveness of measuring [policy] influence for research program consortia in particular explains that evaluators recommended using the Network Functions Approach or Social Network Analysis (SNA) and should consider evaluation methods that monitor the progress of developing strong networks -- Given most of their work is the development of research partnerships, not unlike Extension work.
Gupta and Campbell (2016) found that two of the three most commonly identified policy engagement strategies contributing to policy impact for ANR academics involve relationships and networks – "building strong relationships and partnerships that augment research design, conduct, and/or end use and developing and/or leveraging strategic networks" (p. 3). One ANR Extension scientist noted: "policy work doesn't only involve passing [formal] laws. Policy work also is… the community organizing and the base building and the capacity building and the political education that can then help people engage in [the] policy realm" (p. 11).

Social network analysis (SNA) is a tool being used by Extension nationwide. A 2011 study by University of Extension Minnesota found that SNA has great potential: for

"conducting system wide impact evaluation." The study used the following SNA measures: 1) depth of connections, 2) who initiated the connection, and 3) the perceived importance of Extension's contribution to the organization.[11] Such network analysis could be used to measure strengthened partnerships and the strengthened base of support that Campbell identifies in the matrix of policy outcomes, based on Stachowiak's outcome mapping of policy theories of change. Combined with qualitative methods this could provide rich case studies that would potentially be more meaningful than simply documenting "altmertrics," which measure the number of times citations are referenced, downloaded or bookmarked.

Public Issues Education

Earlier work on Public Issues Education could provide some additional useful guidance to be further explored. PIE projects "tackle the grittiest, most contentious issues faced by communities" (Patton & Blaine, 2001)[12]. "The results are also expected to affect public policy at the local, state and national level or to increase a community's capacity to meet the needs of its citizens in a complex social and policy environment." Grudens-Schuck suggests independent professional evaluations or campus-based faculty or staff may be better equipped in both skills and resources to evaluate the more complex PIE projects She also notes however that such resources are often not available and controlling the evaluation at the project level has its advantages (Earl, Carden, & Smutylo, 2001).[13]

In sum, the aforementioned policy and evaluation frameworks and models may be useful for ANR as the organization works to better capture and communicate its policy impact.

[11] Bartholomay, Chazdon, Marczak, & Walker (2011). Mapping Extension's Networks: Using Social Network Analysis to Explore Extension Outreach. *Journal of Extension*. 49(6).

[12] Patton, D.B., & Blaine, T. W. (2001). Public Issues Education: exploring Extension's role. *Journal of Extension.* 39(4).

[13] Earl, S., Carden, F., & Smutylo, T. (2001). Outcome mapping: building learning and reflection into development programs. Ottawa, Canada: International Development Research Centre. Ottawa, Canada.

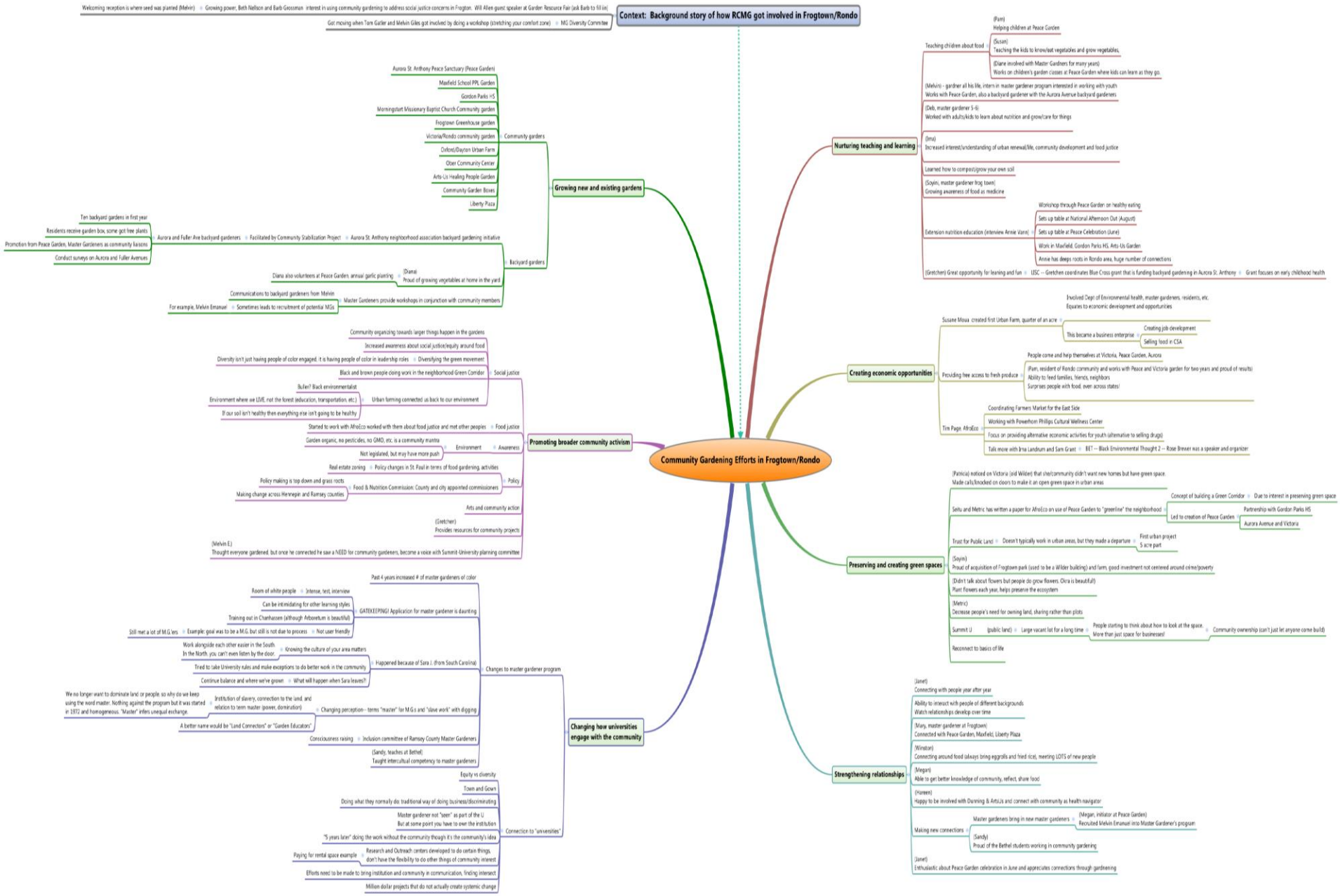
APPENDIX D. Examples of Ripple Effect Mapping and Logic Models in Extension

Ripple Effect Mapping

As mentioned in the previous section, ripple effect mapping (REM) is gaining acceptance in documenting extension efforts intended to benefit the public good. Here we include an example from University of Minnesota Extension, to better understand both intended and unintended results of a community gardening program. (This was shared by Kit Alviz of ANR, who is currently exploring use of REM for program evaluation.)

For application in our context, the 7 "core themes" of the gardening program could be replaced by the 5 policy stages in the policy formation process (from Table 1), with more detailed sub-maps for each.

Also included is an example of using REM in ANR statewide program planning. (This was shared by Katherine Webb-Martinez of ANR).


Community Gardening Efforts in Frogtown/Rondo
Context: Background story of how RCMG got involved in Frogtown/Rondo
Welcoming reception is where seed was planted (Melvin)
Growing power, Beth Nellson and Barb Grossman interest in using community gardening to address social justice concerns in Frogton. Will Allen guest speaker at Garden Resource Fair (ask Barb to fill in)
Got moving when Tom Gatler and Melvin Giles got involved by doing a workshop (stretching your comfort zone)
MG Diversity Committee
Growing new and existing gardens
Community gardens
Aurora St. Anthony Peace Sanctuary (Peace Garden)
Maxfield School PPL Garden
Gordon Parks HS
Morningstart Missionary Baptist Church Community garden
Frogtown Greenhouse garden
Victoria/Rondo community garden
Oxford/Dayton Urban Farm
Ober Community Center
Arts-Us Healing People Garden
Community Garden Boxes
Liberty Plaza
Backyard gardens
Aurora and Fuller Ave backyard gardeners
Facilitated by Community Stabilization Project
Aurora St. Anthony neighborhood association backyard gardening initiative
Ten backyard gardens in first year
Residents receive garden box, some got free plants
Promotion from Peace Garden, Master Gardeners as community liaisons
Conduct surveys on Aurora and Fuller Avenues
(Diana)
Proud of growing vegetables at home in the yard
Diana also volunteers at Peace Garden annual garlic planting
Master Gardeners provide workshops in conjunction with community members
Communications to backyard gardeners from Melvin
For example, Melvin Emanuel
Sometimes leads to recruitment of potential MGs
Promoting broader community activism
Social justice
Community organizing towards larger things happen in the gardens
Increased awareness about social justice/equity around food
Diversity isn't just having people of color engaged. It is having people of color in leadership roles
Diversifying the green movement
Black and brown people doing work in the neighborhood Green Corridor
Urban farming connected us back to our environment
Buller? Black environmentalist
Environment where we LIVE, not the forest (education, transportation, etc.)
If our soil isn't healthy then everything else isn't going to be healthy
Food justice
Started to work with AfroEco worked with them about food justice and met other peopies
Environment
Awareness
Garden organic, no pesticides, no GMO, etc. is a community mantra
Not legislated, but may have more push
Policy
Real estate zoning
Policy changes in St. Paul in terms of food gardening, activities
Food & Nutrition Commission: County and city appointed commissioners
Policy making is top down and grass roots
Making change across Hennepin and Ramsey counties
Arts and community action
(Gretchen)
Provides resources for community projects
(Melvin E.)
Thought everyone gardened, but once he connected he saw a NEED for community gardeners, became a voice with Summit-University planning committee
Changing how universities engage with the community
Changes to master gardener program
Past 4 years increased # of master gardeners of color
GATEKEEPING! Application for master gardener is daunting
Room of white people
Intense, test, interview
Can be intimidating for other learning styles
Training out in Chanhassen (although Arboretum is beautiful)
Still met a lot of M.G.'ers
Example: goal was to be a M.G. but still is not due to process
Not user friendly
Happened because of Sara J. (from South Carolina)
Work alongside each other easier in the South.
In the North, you can't even listen by the door.
Knowing the culture of your area matters
Tried to take University rules and make exceptions to do better work in the community
Continue balance and where we've grown
What will happen when Sara leaves?!
Changing perception -- terms "master" for M.G.s and "slave work" with digging
We no longer want to dominate land or people, so why do we keep using the word master. Nothing against the program but it was started in 1972 and homogeneous. "Master" infers unequal exchange.
Institution of slavery, connection to the land, and relation to term master (power, domination)
A better name would be "Land Connectors" or "Garden Educators"
Consciousness raising
Inclusion committee of Ramsey County Master Gardeners
(Sandy, teaches at Bethel)
Taught intercultural competency to master gardeners
Connection to "universities"
Equity vs diversity
Town and Gown
Doing what they normally do: traditional way of doing business/discriminating
Master gardener not "seen" as part of the U
But at some point you have to own the institution
"5 years later" doing the work without the community though it's the community's idea
Research and Outreach centers developed to do certain things, don't have the flexibility to do other things of community interest
Paying for rental space example
Efforts need to be made to bring institution and community in communication, finding intersect
Million dollar projects that do not actually create systemic change
Nurturing teaching and learning
Teaching children about food
(Pam)
Helping children at Peace Garden
(Susan)
Teaching the kids to know/eat vegetables and grow vegetables.
(Diane involved with Master Gardeners for many years)
Works on children's garden classes at Peace Garden where kids can learn as they go.
(Melvin - gardner all his life, intern in master gardener program interested in working with youth
Works with Peace Garden, also a backyard gardener with the Aurora Avenue backyard gardeners
(Deb, master gardener 5-6)
Worked with adults/kids to learn about nutrition and grow/care for things
(Ima)
Increased interest/understanding of urban renewal/life, community development and food justice
Learned how to compost/grow your own soil
(Soyini, master gardener frog town)
Growing awareness of food as medicine
Extension nutrition education (interview Annie Vann)
Workshop through Peace Garden: on healthy eating
Sets up table at National Afternoon Out (August)
Sets up table at Peace Celebration (June)
Work in Maxfield, Gordon Parks HS, Arts-Us Garden
Annie has deeps roots in Rondo area, huge number of connections
(Gretchen) Great opportunity for learning and fun
LISC -- Gretchen coordinates Blue Cross grant that is funding backyard gardening in Aurora St. Anthony
Grant focuses on early childhood health
Creating economic opportunities
Involved Dept of Environmental health, master gardeners, residents, etc.
Equates to economic development and opportunities
Susane Moua created first Urban Farm, quarter of an acre
This became a business enterprise
Creating job development
Selling food in CSA
Providing free access to fresh produce
People come and help themselves at Victoria, Peace Garden, Aurora
(Pam, resident of Rondo: community and works with Peace and Victoria garden for two years and proud of results)
Ability to feed families, friends, neighbors
Surprises people with food, even across states!
Tim Page, AfroEco
Coordinating Farmers Market for the East Side
Working with Powerhorn Phillips Cultural Wellness Center
Focus on providing alternative economic activities for youth (alternative to selling drugs)
Talk more with Irna Landrum and Sam Grant
BET -- Black Environmental Thought 2 -- Rose Brewer was a speaker and organizer
Preserving and creating green spaces
(Patricia) noticed on Victoria (old Wilder) that she/community didn't want new homes but have green space.
Made calls/knocked on doors to make it an open green space in urban areas
Seitu and Metric has written a paper for AfroEco on use of Peace Garden to "greenline" the neighborhood
Concept of building a Green Corridor
Due to interest in preserving green space
Led to creation of Peace Garden
Partnership with Gordon Parks HS
Aurora Avenue and Victoria
Trust for Public Land
Doesn't typically work in urban areas, but they made a departure
First urban project
5 acre part
(Soyini)
Proud of acquisition of Frogtown park (used to be a Wilder building) and farm, good investment not centered around crime/poverty
(Didn't talk about flowers but people do grow flowers. Okra is beautiful!)
Plant flowers each year, helps preserve the ecosystem
(Metric)
Decrease people's need for owning land, sharing rather than plots
Summit U
(public land)
Large vacant lot for a long time
People starting to think about how to look at the space.
More than just space for businesses!
Community ownership (can't just let anyone come build)
Reconnect to basics of life
Strengthening relationships
(Janet)
Connecting with people year after year
Ability to interact with people of different backgrounds
Watch relationships develop over time
(Mary, master gardener at Frogtown)
Connected with Peace Garden, Maxfield, Liberty Plaza
(Winston)
Connecting around food (always bring eggrolls and fried rice), meeting LOTS of new people
(Megan)
Able to get better knowledge of community, reflect, share food
(Noreen)
Happy to be involved with Dunning & ArtsUs and connect with community as health navigator
Making new connections
Master gardeners bring in new master gardeners
(Megan, initiator at Peace Garden)
Recruited Melvin Emanuel into Master Gardener's program
(Sandy)
Proud of the Bethel students working in community gardening
(Janet)
Enthusiastic about Peace Garden celebration in June and appreciates connections through gardening

Ripple Effect Mapping: As part of the Statewide Program Review Process

By Katherine Webb-Martinez

Background

This proposal is adapted from the participatory mind mapping approach to evaluate outcomes and impact conducted over the last few years by a number of Extension academics across the country, including Washington State University Extension, University of Idaho Extension, University of Minnesota Extension, North Dakota State University, and South Dakota State University. In addition, UCCE Advisors Richard Enfield (emeritus) and Keith Nathaniel have been involved in impact mapping.

Purpose

The purpose of using ripple effect mapping is to visually document the outcomes and impact of the program, effecting individual participants, groups, communities, or regions involved.

What is it?

Ripple Effect Mapping is "a participatory group method that engages program and community stakeholders to retrospectively and visually map the chain of effects resulting from a program or complex collaboration. The REM process combines elements of Appreciative Inquiry, mind mapping, group interviewing, and qualitative data analysis. It is a powerful tool for documenting both the intended and unintended results of a program. It is also a way to engage and reenergize program participants and stakeholders around shared goals." (Scott Chazdon, Evaluation and Research Specialist with the Extension Center for Community Vitality, University of Minnesota)

Appreciative Inquiry is "a process that inquires into, identifies, and further develops the best of what is in organizations in order to create a better future" (Coghlan, A. T., Preskill, H., & Tzavaras, Catsambas, T. (2003). An overview of appreciative inquiry in evaluation. NewDirections for Evaluation, Winter 2003 (100), 5-22)

Benefits

- Kick-off the program's interaction with the ad hoc review committee on a positive note by developing shared understanding of program successes through this inclusive process.
- Captures unintended outcomes or outcomes that the program may overlook.
- "This mix of people creates an insider-outsider dynamic that sometimes leads to game-changing insights about efforts that have already happened, as well as

efforts that could happen! That's why Ripple Effect Mapping makes sense as a developmental evaluation tool." - Scott Chazdon

Deliverables

- A visual program impact map.
- Data for the statewide program review to answer outcome and impact questions, in addition to the metrics and data provided by the program.

Participants

Recommended to have 12-20 people and invite both direct participants and non-participant stakeholders (about half and half).

- Ad hoc review committee (selected given familiarity with the program; external representative may only be familiar with similar program(s))
- Program leadership
- Invited program participants

REM Process Overview:

Time required: 60-120 minutes

Introduction (15 minutes)

1. Introductions and overview of session and objectives.

Appreciative Inquiry Interview (10 minutes)

2. REM participants are instructed to find a partner (not a close colleague).
3. Share a story briefly using Appreciative Inquiry "to interview each other about specific ways the program affected their lives or particular achievements or success they have experienced as a result of the program." (Cooperrider & Whitney 2007)
    a. Ask one question: Think about a time when you worked with the program over the past 5 years and experienced or observed a meaningful, significant outcome.

Mapping (45-70 minutes)

4. Ask each pair to share one story. Facilitator draws out each ripple using a different color.
5. Ask probing questions as needed. Then what happened? Who was involved? How many people were there? What is different in the community as a result (people, organizations, community)?
6. Continue until everyone has shared one story.

Reflection (10 minutes)

7. Ask group to identify the most significant change(s) on the map.
8. REM facilitators categorize the reported data into general themes. Everyone in the room is invited to generate these themes, which will help analyst with analysis.

Closing (5 minutes)

1. Thank participants for engaging in REM exercise.
2. Explain map will be digitized and coded, and how it will be shared.

<u>After REM session</u>

Digitize map

Conduct Follow-up Interviews

- May need to collect additional detail, or from crucial sources of information who were unable to attend the session.
- Note: Can still have ad hoc committee interview Director and staff individually to answer other questions, and be in a situation to speak freely.

Analysis

- Clean, code, analyze

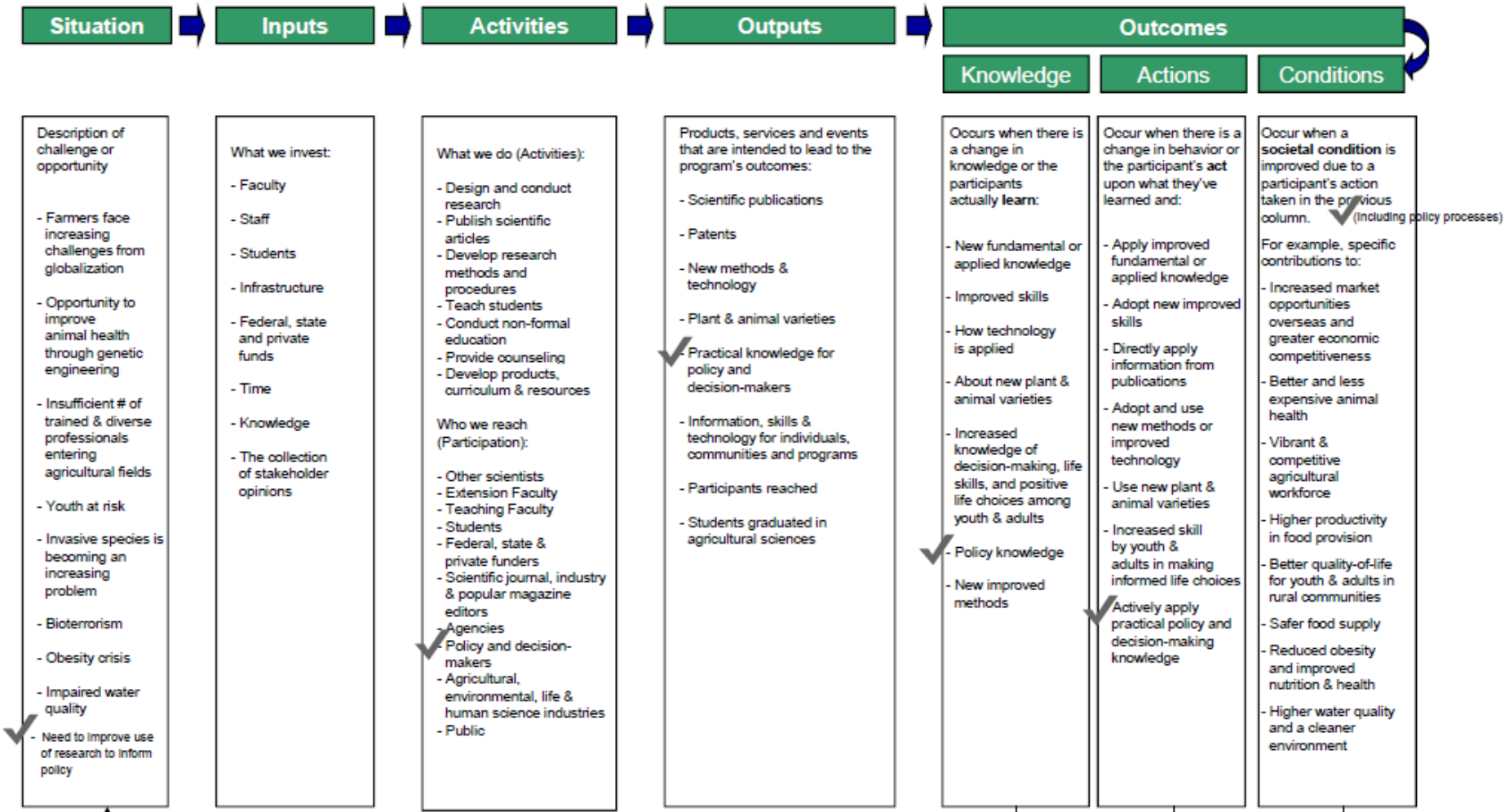
Logic Models

We also include an example of a logic model adapted from the USDA National Institute of Food and Agriculture to highlight the policy-relevance of CE efforts. While this particular logic model is helpful, it does not capture the variety of points at which research informs or influences the policy process (demonstrated in Table 1). For instance, the "Situation – Description of Challenge or Opportunity" could be adapted to include those efforts in which policy development and/or adaptation is the impetus for effort. Effects created by this awareness would ripple through the remaining components of the logic model. We have added suggested language that might support this.

✓(policy relevance added or highlighted)

Generic Logic Model for NIFA Reporting

(This model is intended to be illustrative guide for reporting on NIFA-funded research, education and extension activities. It is not a comprehensive inventory of our programs.)



ASSUMPTIONS - These are the premises based on theory, research, evaluation knowledge etc. that support the relationships of the elements shown above, and upon which the success of the portfolio, program, or project rests. For example, finding animal gene markers for particular diseases will lead to better animal therapies.

EXTERNAL FACTORS - A brief discussion of what variables have an effect on the portfolio, program or project, but which cannot be changed by managers of the portfolio, program, or project. For example, a plant breeding program's success may depend on the variability of the weather...etc.

Version 1.3

APPENDIX E. Project Board Changes

Project Board will be ANR's new internal, statewide system that integrates programmatic and affirmative action reporting systems with the merit and promotion process. It aims to reduce duplicative data entry efforts and improve user experience, as well as make information accessible for multiple audiences and purposes. Project Board will collect information from Cooperative Extension academics for:

- Advocacy – impact statements and marketing materials when ANR leaders talk with legislators, partners, and others.
- Accountability – including for federally mandated, division wide annual reporting.
- Academic Merit and Promotion – information required for ANR's annual evaluation, merit, and promotion process.

With the development of the Project Board, ANR aims to better capture policy outcomes, as well as the related policy relevant outputs (activities and products). The Project Board development team solicited broad input from academics on how to better frame activities and outcomes reporting. Through more than ten campus-based input sessions with academics and academic personnel professionals, and numerous meeting with the Project Board Academic Advisory Board, it has been decided to make two policy specific enhancements to better capture ANR academics policy relevant work.

First, a specific policy related activity was added to the extending knowledge and information methods, currently described as – **Policy engagement**. The academics participating in the input sessions liked the idea of a specific policy related activity as a means to get better recognition for this important work, which can take a lot of time, and are intended to lead to potential policy impact in the future, and might not be captured by the other Extension activity types. Policy activities can be understood as indicators of the policy change process – as a "measurement of an organization's activities or efforts to make change happen" (Guthrie, Louie, David, & Foster, 2005, p. 26)[14]. In addition, collecting policy relevant output data will help ANR better understand how its Extension professionals are engaging with, and influencing, the various phases of the policy cycle.

Extension has diverse policy relevant activities that vary by context; thus, this tracking mechanism is intentionally defined broadly. The Gupta and Campbell study (2016) suggests that "a wide range of output forms and delivery methods can be used to achieve a policy impact." Thus, the Project Board's tooltip for the new policy engagement activity explains it is intended to capture policy specific activities that might not be

captured elsewhere, such as building relationships/leading coalitions; equipping decision makers with the data they need to develop successful policies; monitoring and assessing formal decision-making by proper authorities; informing policy or regulatory compliance options and actions, etc. And it is important that this is defined separately given Campbell and Gupta (2016) explain "output expectations of academic institutions, such as journal articles, often do not match the needs of end users in policy arenas" (p. 11). Users can also put policy activities as they fit under the other activity types, e.g. meetings organized, or in their bibliography they would include policy briefs, policy related white papers, and journal articles.

The second policy specific enhancement is the following outcome type was added – **Change in Policy or Decision Making (science-based information applied to decision-making or results from policy engagement)**. Policy outcomes typically are much less tangible and harder to discern (Gupta & Campbell, 2016). Calling out a policy outcome separately was recommended by the Project Board Academic Advisory Board in order to prompt people to think about policy outcomes in particular. Extension logic models tend to have policy outcomes as part of the medium-term action outcomes, which also include changing behavior and practices. However, the advisory board acknowledged that affecting policy change often takes longer than clientele adopting new practices or changing behaviors. Thus, it is now listed between behavior change and condition change for a set of four outcome types: learning, behavior, policy, condition.

Acknowledging "the imperfect nature of measuring influence is the tension between quantitative metrics and the need for more meaningful analysis" (Tsui, 2013). The Project Board's integration of the internal reporting system with the merit and promotion system will facilitate a shift from capturing discrete, more quantitative outcome data to using a narrative, qualitative approach to collecting and analyzing policy outcomes.

Campbell's (2017) policy strategies and indicators matrix (see Appendix A) can be used as a training tool and incorporated into the online Help to inform users what types of activity can be captured in the development of policy and/or policy relevant materials and what types of outcome indicators can be used to measure changes in policy. In addition, we may want to consider adding to the Help a description that the learning change outcome can include changes in awareness and attitudes as potential important policy outcomes specifically in terms of shifting social norms (Stachowiak, 2013).

Gupta and Campbell (2016) recommended that ANR "develop a better system for documenting and aggregating our policy impacts" (p. 28). To this end, the Project Board

development team has worked with academics across the state, the Research to Policy working group, and plans to work with the new Evaluation Specialist, to make the new system more effective in capturing ANR's policy relevant work and impact.

APPENDIX F. Distinguishing between Advocacy and Lobbying[14, 15, 16]

Advocacy is when organizations advocate on their own behalf, they seek to affect some aspect of society, whether they appeal to individuals about their behavior, employers about their rules, or the government about its laws.

Lobbying refers specifically to advocacy efforts that attempt to influence legislation. This distinction is helpful to keep in mind because it means that laws limiting the lobbying done by organizations do not govern other advocacy activities.

Grassroots lobbying vs. Direct Lobbying: Grassroots lobbying is appealing to the general public to contact the legislature about an issue. Direct lobbying is contacting government officials or employees directly to influence legislation. If an issue is to be decided through a ballot initiative or referendum, appeals to the public are considered direct lobbying, because the public in this instance acts as the legislature.

Freedoms and Restrictions:
In your official capacity as a UC employee, you cannot endorse a candidate or take positions on bills or propositions. In your official capacity as a UC employee, however, you can provide fair presentation of the facts using objective, non-inflammatory language, delivered through regular information channels. For example, you can testify as an expert witness, talk about your research, educate the committee, and meet with members of the legislature to discuss your work/research.

Only as an individual can you endorse or campaign for candidates or bills. You can even use your title but you must have a disclaimer stating this is your personal and independent opinion and not that of the University and you must do these activities on your own time without using any UC resources, including UC letterhead.

UC Positions
UC Regents/System as a whole can take positions on bills, but not campuses or faculty/staff. It is fine to state that the University has taken a particular position. If you plan to speak officially on behalf of the University at a hearing, as a witness in support/opposition, you should get approval from UC Government Affairs personnel.

[14] Lobbying and Advocacy—Similarities and Differences, published by Charity Lobbying for the Public Interest
[15] Public Policy Related Activities That Are Not Lobbying, published by Charity Lobbying for the Public Interest
[16] The Alliance: Voice of Community Non-Profits. http://ctnonprofitalliance.org/

Best Practices for Getting Started

If you want to engage politically or in policy discussions with lawmakers, contact the ANR Government and Community Relations Director or the UC Office of General Counsel. These situations are oftentimes complex, and situations often need to be evaluated on a case by case basis. Together, you can develop a strategy to achieve your goal, whether it be through educating legislators, changing policy, or getting additional resources.

If you have any questions about whether an activity is allowed, please contact: Anne Megaro, ANR Government and Community Relations Director, ammegaro@ucanr.edu, (530) 750-1218.

For additional information:

- **ACE Guidelines: Political Campaign-Related Activities of and at Colleges and Universities** http://www.acenet.edu/news-room/Documents/Memo-Political-Campaigns.pdf
- **UC Guidelines re: Participation in Ballot Initiative Campaigns** http://www.ucop.edu/state-governmental-relations/advocacy/legal-guidelines-ballot-campaigns.html
- **UC Guidelines re: Political Activities** http://policy.ucop.edu/doc/1200368/FacilPolitActiv

APPENDIX G. Criteria for Research-to-Policy Efforts

For over 100 years, UCCE county-based advisors and campus-based specialists have collaborated with communities to identify emerging needs in agricultural, natural resource, nutrition, family & consumer sciences, and youth development, and developed applied research and educational programs to solve local problems. By virtue of engaging with local communities to identify critical issues, develop and implement evidence-based interventions and outreach, monitor impacts, provide alternative models successfully implemented elsewhere, and evaluate for further needs, CE academics serve as an "expert" resource to policy-makers.

Three criteria for good planning, policies and programs **(carrying capacity, fair shares, and adaptive management**) may be applied to pre-policy development, implementation, and evaluation.

Carrying capacity in the fields of ecology or agriculture is the number of people, other living organisms, or crops that a region can support without environmental degradation.[i] This criterion considers the natural resources available to support human settlements without compromising their use by future generations, and the long term environmental footprint of human activities – sustainable development.[ii] In policy development/implementation, the concept of carrying capacity can describe the ability of the implementing agency/organization or local governing body to apply the policy based on available/provided funding, staffing, workloads and capital resources. A case in point is Unincorporated Alameda County's Ashland/Cherryland Urban Greening Master Plan, which has abundant support from local residents, but currently lacks funding for implementation from any sources.

Carrying capacity of outcomes/impacts may be a measure of the public's capacity to embrace changes spurred by legislated policy interventions – like knowledge/behavior change, economic challenges, public health, and use of natural resources. For example, rural low income families in the developing world may be taught not to cut down ecologically important trees for firewood, but fuel for cooking and warmth often takes a much higher priority for human survival. Thus, on-the-ground human needs and conditions may supersede societal aspirations and goals in spite of educated awareness that led to policy changes. The central concerns about sustainability per human settlements -- natural resources: use-intensity, density, and the design of human-created

infrastructure, may be addressed in this way via environmental impact reviews, and by evaluating the efficacy of alternatives per carrying capacity.

Fair-share is defined as "an equitable or reasonable portion or share one is due relative to what other people are receiving."[iii] The equitable distribution of resources are based on limits to balance societally inherited or allocated burdens/benefits through constitutional rights, markets, and groups-policy as characterized by race or class, conditions e.g. health or wealth, geography e.g. sub-regions, rings, or north-south split. In pre-policy efforts, CE advisors must ask "is the scope of work an appropriate response to mitigate locally detrimental environmental and social/historical conditions?" The State of California's regulatory Pesticide Control program limits exposure to pesticide spraying which may cause asthma and cancer to local residents when improperly used in rural farming communities and/or when worker-safety statutes are not followed. Thus, the benefit of certain pesticides to the public at large may not outweigh the burden born by those where the pesticides are used. Policies with responsive fair-share considerations protect the public by establishing buffer zones between agricultural lands and planned residential or commercial real estate development to reduce or prevent pesticide spray-exposure. In policy/program implementation, one may ask if the impacts made a difference in ensuring equitable resource distribution to all participants or limited unreasonable community burdens born by a particular group impacted. Measuring and monitoring policy outcomes is critical to demonstrate whether: program implementation is going forward as designed; environmental health and public health programs are yielding planned or unexpected results; satisfaction, knowledge, and priorities have local stakeholder and public support; and if economic impact is economically sustainable. The main goal is equal protection – not just equalization of burdens and benefits, in such cases, in terms of policy outcomes leading to programmatic interventions. The priority is place-based equality of economic, social, and environmental health-objective metrics across society for current and future generations, and policy-catalyzed programs implemented for that purpose.

Adaptive management is a structured, iterative decision making process undertaken regularly with informal assessments to ensure that planning practices and policy tools yield desired outcomes over time.[iv] The question to examine is the extent to which the policy adjusts at key "trigger points," when new facts, locally-specific conditions, new science/technology, new opinions/ideologies, or analytical data-based conclusions suggest desired impacts are not being reached per program-objectives. In pre-policy/program implementation, needs assessment-research on specific programmatic

interventions informs the components of the scope of work with an eye towards solving local problems and adaptability to local circumstances. However, policy/program outcomes and impacts must be assessed comparatively over time to ensure that such policy is responding to changes in local needs. Ongoing policy monitoring may spur improvements in program design based on local needs demonstrated via data-metrics/surveys, financial, political or economic-risk analysis, community asset mapping, and/or constituent-stakeholder/policy maker input, as traditional evaluative assessments.

Finally, these three criteria are linked together and must be considered as interconnected and iterative, with one node often affecting multiple points in policy development. Issues of linkage in Adaptive Management become especially challenging over time with an accumulation of opinions and plans – even detrimental ones. Together these actions create conservative systems of resource/infrastructural commitment and adjustment producing enormous drag on the framework of community change and fiscal allocation. Environmental management is at the core of Adaptive Management and focuses on actions to reduce risk, while monitoring/testing the premises of the actions for their efficacy and impact. Policy-monitoring is wasteful if it leads to costs and delays not justified by the state of knowledge, the statistical confidence of the results, and the magnitude of risk being addressed. Monitoring can also be wasteful if it does not affect action, especially if the results are unexpected or unwelcome, possibly due to improper fit of program design. "Adaptive management" – adjusting action based on the results of monitoring – is/should be an essential element of all policy-making, applied research and educational program planning.

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[i] https://www.google.com/#q=definition+of+carrying+capacity
[ii] www.un.org/en/ga/president/65/issues/sustdev.shtml
[iii] *https://en.oxforddictionaries.com/definition/fair_share*
[iv] https://en.wikipedia.org/wiki/Adaptive_management