Annex B: Samples Data Templates

Think Tank Initiative Monitoring & Evaluation Strategy
Monitoring Questionnaire

Preamble: This questionnaire is being administered by the Think Tank Initiative and should be completed by the Executive Director of grantee organizations. The Executive Director may ask relevant management staff (e.g. Administration and Finance Officer, Director of Research) to provide information related to their respective domain of competence.

The aim of this questionnaire is to collect standardized information from grantee think tanks (TTs) on the identified performance indicators as per the Initiative's results framework. The questionnaire will be used to collect baseline data against which the performance of the TTs will be compared. The questions marked with a pound sign (#) will be tracked on an annual basis. The full questionnaire will be administered again in full at the end of the grant period.

The questionnaire is composed of the following parts:
1. The Organization and its Environment
2. Research
3. Organizational Performance
4. Outreach and Policy Linkages

We would be grateful if you could answer the following questions as openly as possible.

Respondent identification

Name of organization	
City & country	
Name of respondent	
Respondent's position/designation in the organization	
Date	

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HEAD OFFICE / SIÈGE **:** 150 Kent Street / 150, rue Kent ● PO Box / CP 8500 ● Ottawa ON Canada K1G 3H9
Phone / Tél. : +1 613 236 6163 ● Email / Courriel : info@idrc.ca / info@crdi.ca
idrc.ca | crdi.ca

Canada

1. The Organization and its Environment

This section is about your organization's profile and staff composition, and the country context related to the creation and operation of think tanks.

If your organization is part of a university, the answers should only be for your organization, not the whole university. Where questions refer to staff members, these are full-time staff. There is space to add part-time staff, such as professors who work on specific projects.

1.1 When was the organization created?
_____

1.2 How long did it take to officially register the organization? _____months/years;

Why?
_____

1.3 How many other policy research organizations exist in the country? _____

1.4 Do you think that current national laws and regulations encourage the creation of policy research centres?

a. [ ]Yes; b. [ ]No

Why? (Give an example)
_____

1.5 Would you say that these laws facilitate or hinder the operation of policy research centres?

a. [   ] Facilitate; b. [   ] Hinder

Why? (Give an example)
_____

1.6 How easy is it to access national statistics and government publications?

a. [   ] Very easy; why?
_____

b. [   ] Somehow easy; why?
_____

c. [   ] Difficult; why?
_____

1.7 In general, does the government consult research findings and/or researchers when developing new national policies or sectoral programs?

a. [   ] Yes; b. [   ] Sometimes; c. [   ] No

– If response is positive, which ones?
_____

_____

—

1.8   Do you think that the government sees a role for research centres in supporting the policy making process?

   a. [   ] Yes; b. [   ] No

   –   If yes, how would you describe this perceived role?

   a. [   ] Involve organizations in the development of policies;

   b. [   ] Involve organizations in monitoring and evaluation of policy implementation

   c. [   ] Others (specify)

   _____

1.9   **#Work mix**: Policy research organizations and research-advocacy organizations exhibit a wide range of mixes of research work, on the one hand, and advocacy activities on the other. (By advocacy we mean activities, within the laws of the country, designed to promote the adoption of your policy recommendation). While recognizing that research and advocacy may not constitute the only activities in which your organization is engaged, which of the following best characterizes your organization? Place an "X" next to the most accurate answer.

	Work mix	Best fit
a.	10% research – 90% advocacy	
b.	25% research – 75% advocacy	
c.	40% research – 60% advocacy	
d.	60% research – 40% advocacy	
e.	75% research – 25% advocacy	
f.	90% research – 10% advocacy	

1.10 #Count of all staff by general level and type of work at the end of 2009

Staff level / type	Full time	Part-time (Number of part-timers; and total # of person months worked by all part-timers)		Number (full-time staff) who left the organization	Number of new (full-time staff) hires	Number of full time staff who have PhDs
	M/F	M/F	M/F	M/F	M/F	M/F
Research staff						
Senior						
Mid-level						
Junior						
*Survey operations staff ***						
Interviewers						
Supervisors						
Data entry or data cleaning staff						
*Communications/Public Relations staff ***						
Senior						
Mid-level and junior						
*Administrative and technical staff ***						
Senior						
Mid-level and junior						
Support staff						
General Office Support (Secretaries, *receptionists, administrative assistants, etc.)*						
All other support *(drivers, cleaners, etc.)*						
Total						

* Only fill if different from research staff
** Includes IT experts, accounting staff, etc.

1.11 #Complete the table below for the last senior researchers you have hired at your organization in the past two years (up to 5). Please list the names of recent hires in the first column and provide information for each of them in the remaining six columns using the numbers of options specified below the table.

Recent hires	Educational background[+]	Gender (Male=0; Female=1)	Highest qualification[*]	Number of years of Experience	Previous Employer[**]	Country of origin[***]
a.						
b.						
c.						

d.						
e.						

+ (1) Economics; (2) Sociology; (3) Political science; (4) Public Policy; (5) Other (specify)

* (1) Masters; (2) Doctorate (PhD); (3) Other (specify)

**(1) University; (2) NGO; (3) Other think tank; (4) Government; (5) Private sector; (6) Other (specify)

***1= from country; 2= from Region; 3= from abroad (others countries not in the region)

1.12 How difficult has it been to find qualified senior researchers? *Mark the answer that best describes your situation*.

Characterization	Place mark here
It is practically impossible to find qualified people	
We have to work very hard to find them, but good people are available	
I would say about "average" in difficulty	
Not difficult	
Other (specify)	

1.13 #In 2009, what were the major sources of funding for your organization?

Source	Percentage of Total
a. Grants & contracts from international aid agencies (e.g., World Bank, USAID, UNDP)	
b. Grants from international foundations, programs, and NGOs (e.g., GDN, International Budget Project, Revenue Watch Institute, Ford Foundation)	
c. Grants from domestic foundations and organizations	
d. Contracts from domestic government agencies	
e. Contracts from private domestic for-profit organizations	
f. Fees from training courses, conferences and other such activities	
g. Income from publications	
h. Dues from members	
i. Funding from government	
j. Other (Please specify)	
Total	**100**

1.14

   a. #Of the projects that you began in 2009, for what percentage did you define the topic (i.e., it was not specified by the organization that paid for the work)? _____

   b. #What percentage of the budget for all new projects in 2009 came from unrestricted or core funding? _____%

1.15

a. #What topics, areas, subjects, or sectors did the organization devote most of its resources to in the past two years? (For example, health, education, budget issues, housing policy). Please list in order of importance, with the most important listed first.

a.
b.
c.
d.

b. Are these the areas for which your institution is best known? a. [ ]Yes; b. [ ]No

c. If there are additional areas where you have a strong reputation, please list them below.

a.
b.
c.

d. #What percentage of your budget in 2009 went to projects in the areas for which your institution is best known or has strong reputation? _____%

1.16 #As measured by time spent by the research and communications staff (not administrative technical staff) in 2009, what was the percentage allocation of your organization's effort among the following?

Type of activity	Percentage
a. Policy development, i.e. working directly with public officials on the development of new laws and regulations	
b. Research and analysis and development of related policy recommendations and proposals	
c. Organizing conferences, seminars, and workshops	
d. Education and training, i.e. developing or teaching courses or workshops	
e. Writing publications separate from those associated with the above activities	
f. Other advocacy activities (specify)	
g. Other activities (specify)	
i. Total	**100**

1.17 #Please provide information on the following activities for 2009.

Activities	Response

a. Number of research projects completed	
b. Number of training courses offered	
c. If training courses were offered, total number of students who took courses	
d. Number of university students supervised/advised by staff	
e. Number of surveys conducted by organization	

1.18 How would you describe the organization's facilities?

a. [　] Highly suitable

b. [　] Suitable

c. [　] Somewhat suitable

d. [　] Unsuitable

Please explain: _____

1.19 How would you describe your organization's Information Technology infrastructure (computer, connectivity, local network functionalities)?

a. [　] State of the art

b. [　] Functional

c. [　] Somewhat operative

d. [　] Outdated

Please explain: _____

2. Research

We would like to know about your research areas (What are they? How do you define them? What was the thematic evolution in your organization, etc.), the relevance of your research, and the quality control processes for your research outputs.

2.1 How does your organization generally define the research areas it will be engaged in?

_____
__

2.2 #What key research themes is your organization currently working on? (List up to seven)

_____
__

2.3 #Why are these themes important to your organization?

_____

2.4 How do these themes compare with those your organization has concentrated on in the past 5 years?

_____

2.5 What factors have informed the thematic evolution you have just described?

_____

2.6 Does your organization have a formal quality control process for research outputs? a.[ ] Yes; b.[ ] No

2.7 If Yes to Q 2.6, is there an official policy that outlines this process? a.[ ] Yes; b. [ ] No

2.8 If No to Q 2.6, please describe how you make sure your organization produces high quality research outputs.

_____

2.9 What kinds of products are subject to a review?

Type of product	Always Required	Sometimes Required	If not always, when is it not required?
a. Reports to clients			
b. Papers for conference presentation			
c. Papers being submitted to scientific journals			
d. Books being proposed for publication			
e. Articles for the popular press			

f.	Documents to be distributed at press conferences		
g.	Documents to be distributed at conferences		
h.	Policy papers and memos prepared especially for government officials or members of parliament		

2.10 Who appoints the reviewer(s)?

_____

2.11 Are reviewers always selected from the institution's staff? a.[   ] Yes; b.[   ] No

2.12 If No, when are "outside reviewers" selected?

_____

2.13 If Yes to Q2.11, What is the basis for the selection of "inside" reviewers?

_____

2.14 If No to Q2.11, What is the basis for the selection of "outside" reviewers?

_____

2.15 Are reviewers required to provide written comments? a.[   ] Yes; b. [   ] No

2.16 Are completed reviews ever consulted by supervisors when they are assessing staff members' performance for the year? a. [   ] Yes;   b. [   ] No

3. Organizational Performance

In this section, we would like to understand the governance system, human resources management, and other organizational processes (i.e. performance management, strategic planning process) of your organization.

Questions on Board of Directors

3.1. #Does your organization have a Board of Directors? a.[   ] Yes;   b. [   ] No   *(If No, please proceed to question 3.10)*

3.2. #Please explain the Board's functions and key responsibilities.

_____

_____

__

3.3. #How many members constitute the Board? _____

3.4. #How many Directors are **not** staff members? _____

3.5. #How many times per year does the Board meet? _____

3.6. #How many board members usually attend the meetings? _____

3.7. #What types of issues does the Board typically deal with?

_____

_____

_

3.8. #How would you describe the relationship between Board members?

_____

_____

__

3.9. #What about the relationship between the Board and yourself?

_____

_____

__

Questions on Staff

3.10. #In Q1.10, you noted that _____employees left the organization in 2009. What were the reasons for these departures?

_____
_____

____

For University-based Research Centres

3.11. You noted that your organization is a university-based research centre. Does this affect the **hiring** of researchers and other professional staff for your organization? a.[ ] Yes; b.[ ] No

– If yes, how?

_____

_____

___

3.12. What are your organization's procedures for **hiring** researchers and other professional staff?

_____

___

_____

___

3.13. Are funds for projects/consultancies that your organization is carrying out deposited directly into the organization's account or into the University central treasury?

– Please explain:

_____

_____

—

3.14. If project/consultancy funds are directly deposited into the University central treasury, what are the procedures for accessing the funds and spending them on project/consultancy activities?

_____

___

_____

___

3.15. #Does the organization face a problem of staff absenteeism? a. [ ] Yes; b.[ ] No

– If yes, how significant is this problem?

_____

_____

3.16. Does the organization have a formal system in place to assess staff performance? a.[ ] Yes; b.[ ] No

– If yes, please describe this system:

_____

_____

—

3.17. When does this performance appraisal take place?

_____

3.18. And how often?

_____

3.19. Does the organization have formal employee incentive and reward systems? a.[   ] Yes; b. [   ] No

 –   If yes, please describe these:

   _____

_____

3.20. How often are staff members consulted on organizational issues?

   _____

3.21. What consultation mechanisms do you typically use?

   _____

   _____

   __

3.22. Do these consultations involve particular staff members? a. [   ] Yes; b. [   ]
   - If yes, cite them and describe the type of issues they are usually consulted on:

   _____

   _____

   __

3.23. #How many significant staff consultations related to organizational issues took place in 2009? _____

Organizational processes

3.24. What type of data sources does your organization have access to?

   _____

   _____

   __

3.25. Does the organization have access to reference sources? a.[   ] Yes;   b. [   ] No

3.26. Does the organization have organization-wide performance monitoring and/or management systems?
   a.   [   ] Yes;   b. [   ] No

 –   If yes, please describe what these consist of:

   _____

   _____

_

Strategic planning processes

The next set of questions is about your strategic planning process, i.e., the process by which you identify emerging policy issues of first importance to the country.

3.27. How often do you conduct such a strategic planning process? *Check the most suitable response.*

Response	Please check below
a. Annually	
b. Every 1 to 2 years	
c. Less often than every 2 years (specify how often _____)	
d. No fixed schedule but we do conduct a strategic planning process	
e. We do not conduct strategic planning	

3.28. When was the last year that you did this? _____   [   ] did not do it (*In which case, please proceed to section 4)*

3.29. What was the result? Check the most suitable response

Response	Please check below
a. A formal strategy statement	
b. It was quite an informal process and after our discussions we generally followed our conclusions / recommendations	
c. It is was an informal process and we are not following the conclusions / recommendations	

3.30. What kinds of persons and organizations did you consult in the planning process?

Persons/organizations	Consulted (Y/N)	Number consulted
a. Senior national government officials		
b. Mid-level national officials		
c. Senior sub-national government officials		
d. Mid-level sub-national officials		
e. Business leaders		
f. Think tank leaders		
g. Advocacy-NGO leaders		
h. Members of parliament		
i. Members of the media		
j. University professors		
k. Other donors/development partners: (specify)		

3.31 #In 2009, did your organization hire external consultants to assist with any organizational development processes?

a. [   ] Yes;   b. [   ] No

If yes, please fill in the table below:

Consultant/firm	Country of residence of consultant/firm	How did you hear about this consultant/firm? (e.g. previously worked with, reference from TTI program staff, reference from a peer, internet, etc.)	Main purpose of consultancy	How did your organization pay for these services (e.g. core funding, applied for a grant, etc.)	On a scale from 1 (not at all) to 5 (very), how satisfied were you with this consultant /firm?

4. Outreach and Policy Linkages

This section is designed to collect information on the publication and other results dissemination tools and strategies used by your organization, as well as the users (audiences) of the research work of the institution.

Publications and Other Communication Tools

4.1 #Publications: Although there is a lot more to communicating research results than publications, let's start with this topic. Please fill in the following table. For "distribution policy," enter all the codes under the table that apply.

Publication type	Produced Y/N	Number published in 2009	Average number of copies printed per publication type (2009)	Average number of copies Distributed per publication type (2009)		Distribution policy**
				Hard copies	**Soft copies***	
a. Organization's bulletin or newsletter						
b. Journal article by staff member in national or international peer-reviewed publication						
c. Chapter in book						
d. Books						
e. Policy briefs						
f. Reports to clients						
g. Discussion papers						
h. Web-based publication (e.g. blogs, report summaries, etc.) (please specify)						
i. Others (please specify)						

* This includes electronic copies circulated by email or downloaded from website. Please answer to the best of your ability.
** Use the following codes. Enter all that apply.

1. distributed free to clients and friends of the organization
2. some distributed free; others charged
3. some or all free copies are targeted by topic to certain policymakers and research institutes
4. posted on web site
5. all copies are distributed without charge to whoever requests them

4.2 #Please provide the full citation for publications published in 2009 in **an international** peer-reviewed journal in the space below. If there are more than 6, select the 6 that best reflect your organization's breadth of interests and analytic skills.

	Full citation
a	
b	
c	
e	
f	
g	

4.3 #Are there national peer-reviewed journals in your country? a. [   ] Yes;   b.[   ] No *(If No, please proceed to question 4.5*)

4.4 #If applicable, please provide the full citation for publications published in 2009 in **a national** peer-reviewed journal in the space below. If there are more than 6, select the 6 that best reflect your organization's breadth of interests and analytic skills.

	Full citation
a	
b	
c	
d	
e	
f	

4.5 #Now let's consider other kinds of vehicles an organization can use to get its results into the decision making process and to educate the public. Please fill in the following table that is similar to the one filled in question 4.1.

Other dissemination vehicles	Used Y/N*	Number in 2009	Invitation policy**
a. Press conferences			
b. Round tables			
c. Conferences that your organization arranged			
d. Public meetings that your organization arranged			
e. Book launch events			
f. Presentations at conferences++			████
g. Presentations at round tables or other public events++			████

h. Placing articles in newspapers, popular magazines			
i. Working with reporters, with attribution			
j. Working with reporters as general background			
k. TV appearances related to policy research			
l. Radio appearances related to policy research			
m. Special memos or papers for policymakers+			
n. Targeted meetings with policymakers+			
o. Special memos or papers for multilateral organizations or donors+			
p. Targeted meetings with multilateral organizations or donors+			
q. Special memos or papers for advocacy NGOs+			
r. Targeted meetings with advocacy NGOs+			
s. Formal testimony to the parliament or government agencies			
t. Sitting on task forces and working groups			
u. Others (specify)			

* Y=we use sometimes, even if not in the past year.

** Use the following codes for items a-e. Enter all that apply:

1. General invitation to press contacts
2. Invite specific members of the press, with some follow-up, e.g., phone or email reminder
3. Make a general announcement through email distribution
4. Invite select policy makers with letter or phone call
5. Invite select advocacy NGOs and PROs specifically
6. Follow-up 4 and/or 5 with email or telephone reminders.

+ The party requesting the memo or organizing the meeting can be either your organization or the other party.

++ Include if person had formal role in the program as presenter, discussant, etc.; exclude if role was making an intervention from the floor, etc. Events include both those organized by your institute and those organized by others.

4.6 #How many "hits" did your website have in 2009? _____number

_____ don't know

_____don't have a website

4.7 #How did you gather the information needed in order to answer questions 4.1 to 4.6?
   a.   [   ] The organization routinely keeps records like these and the information is easily retrievable
   b.   [   ] We searched our records and made a special effort to assemble these figures
   c.   [   ] We estimated our responses based on what we remembered.

4.8 In general, do you collaborate on policy questions primarily with:
   a.   [   ] Government ministries and agencies
   b.   [   ] Legislatures
   c.   [   ] About equally with both

4.9 Have these been formal or informal ways of working? a. [   ] Formal; b. [   ] Informal; c. [   ] Both
   –   Can you describe 2 or 3 examples?
      _____

   _____
   __

4.10 One can think of several audiences for your work. In general, how important are the following groups for you
   when you develop a communication campaign*? Use a scale from 1 to 5, with 5 being the most important. (This
   is a general rating, i.e., beyond the specific client who paid for the work.)

Audience	Score
a. National senior policy makers (ministers, deputy ministers; MPs heading committees, etc.)	
b. Sub-national senior policy makers (ministers, deputy ministers; MPs heading committees, etc.)	
c. General public & recipients of government services	
d. Service providers (e.g., media)	
e. Managerial decision makers (e.g., Business leaders)	
f. International multilateral and bilateral organizations	
g. Advocacy NGOs and CSOs	
h. International foundations and NGOs	
i. Other important audience (Please specify):	

* A communication campaign is defined here as any communication activity (e.g. mass media campaign, web posting,
advocacy activity, workshop, forum, etc.) aimed at changing individual attitudes and behaviors and/or mobilizing public and
decision-maker support for policy change.

4.11 In your opinion, how important are the international donors in influencing policy in your country? Please respond on a scale from 1 to 5 (1 = very little influence and 5 = really quite influential): _____

4.12 Do you think that senior Government officials are willing to accept input from organizations like yours when they are making policy? Please provide a rating on a scale from 1 to 5 (1 = not willing, 5 = very willing): _____

– Please explain:

_____

_____

–

4.13 Do you think that members of parliament are willing to accept input from organizations like yours when they are making policy? Please provide a rating on a scale from 1 to 5 (1 = not willing, 5 = very willing): _____

– Please explain:

_____

_____

4.14#A major objective of policy research organizations is typically to improve the quality of policy-related decision making in government (both the Executive and Parliament). Using a scale from 1 to 5, how would you rate the use of evidence* generated through policy-relevant research by government? (1 = never use evidence from policy-relevant research, 5 = always use evidence from policy-relevant research)

	National		Regional/local	
	Executive**	Parliament**	Executive	Parliament
a. Now				
b. Two years ago				

* "Evidence" includes data, statistics and analysis generated through independent and rigorous quantitative and qualitative research
** Executive branch includes ministries and government agencies, whereas parliament refers to members or parliamentary groups of national/regional legislative assemblies

4.15 #For each of the statements given below about possible strategies for defining and reaching audiences, please select the response that applies to your organization's practices in 2009.

Practice	Always do	Do for major projects	Do sometimes	Almost never	Decided against it	Never really considered this
a. We tailor our knowledge-transfer approach for specific target audiences (e.g., MPs, high government officials, NGOs, or the press)						
b. We obtain and/or update contact information on target audiences on a regular basis						
c. We tailor mailings or emails to specific target audiences						
d. We dedicate resources to skill building among target audiences *						

* For example, you hold sessions for reporters on how to interpret the national government budget.

4.16 #Support for publications, press conferences and book launches:

	Often	Sometimes	Never	Amount
a. Does your institution support publications, press conferences and book launches with overhead[a] funds? *Select the appropriate response*				
	Yes	**No**		
b. Do you have a line item in your organization's budget[b] for these? *Select the appropriate response*				
c. Last year how much overhead money was spent on publications, press conferences and book launches? *Enter the amount in local currency*				

[a] "Overhead funds" in this case means funds other than that available for this specific project.
[b] This means the annual budget of the institution, not a project budget. If you have such a line item, then you will have funds available for publications from general institutional funds.

4.17 Does the organization have someone who works full time on communications and public relations (PR)?
    a.   [ ] Yes (go to Q. 4.19);   b. [ ] No

4.18 If No, is someone designated to spend at least 50% of his/her time on this task? a.[ ] Yes; b. [ ] No

4.19

    a.   When you have events like roundtable discussions or conferences, do you record the number of participants?
        a. [ ] Yes; b. [ ] No

    b.   Do you record the names of senior policy makers who attend or participate in such events?
        a. [ ] Yes; b.[ ] No

    c.   If so, are the names and positions of participants reviewed periodically to track any changes in the organization's activities?
        a.   [ ] Yes; b.[ ] No

Let's distinguish between the results of two types of projects. One produces results on an issue that is on the government's current agenda; it is a "hot topic". The other type of project produces results that will improve the administration and effectiveness of a program significantly but the topic is not necessarily on the current agenda.

4.20 What type of publication, event or strategy do you use for reaching **policymakers** on a **"hot topic"**? Please name two or three:

a.
b.
c.

4.21 Do you use a different strategy or type of publication or event to reach **policymakers** on **"not so hot"** topics**"**?
    a. [ ] Yes;   b. [ ] No

4.22 If you answered yes to 4.21, please specify the two or three types of publications or events that are best for reaching **policymakers** on **"not so hot"** topics:

a.

b.
c.

4.23 Please name the two or three best types of publications or events for reaching **interested non-experts** on a **"hot topic"**:

a.
b.
c.

Thank you very much!

Guidelines for Think Tank Initiative Annual Technical Progress Report and Workplan/Budget

The Think Tank Initiative is a program designed to strengthen independent policy research organizations, so that they may become more influential and sustainable. As an applicant to this program, and over the course of the selection process, your institution was asked to identify a long-term strategy to:

- Develop its own robust research agenda;
- Improve key aspects of its organizational performance; and,

▪ Increase its ability to inform and influence policy.

As a grantee of the Think Tank Initiative, you have committed to embarking on a long-term organizational development process, and to use the core funding and technical support to help place your institution on a transformational path. As a grantee of this program, you are also a key player in helping the Initiative understand whether and how this kind of support can make a difference.

Below are guidelines on information to include in your **annual technical progress report 2012-2013 (Part I)**, and your **annual workplan and budget (Part II)**, for the Think Tank Initiative. These should be prepared as **one complete document**, following the structure provided below.

The annual technical progress report and the annual workplan/budget are due each year on the anniversary of the grant agreement, as stipulated in the Grant Agreement. The Schedule of Project Milestones (Attachment B of the Grant Agreement) provides additional information as to the financial reporting requirements.

Part I: Think Tank Initiative Annual Technical Progress Report 2012-2013

1. Institutional objectives

In [name of organization]'s Grant Agreement with IDRC, the following long-term institutional objectives were specified, committing you to using Think Tank Initiative funds to bring change and innovation to your organization. These objectives form the basis of your annual workplan (see Part II). The demonstrated progress you are making towards these objectives is the yardstick by which the Think Tank Initiative will gauge your success as a grantee of this program:
Insert each objectives here. i.e. grantees are each sent individualized report format!

If you wish to make any changes to these objectives, please outline them below, along with a brief explanation of why these changes are necessary. These revised objectives should relate directly to your institution's strategic plan, and after they are agreed to with the Program Officer, will form the basis of your next annual workplan.

If you are satisfied with your objectives as stated above, please go directly to section 2.

2. Implementation progress

As a program, the Think Tank Initiative tracks the progress of all its grantees along three main areas: research quality, organizational performance, and policy linkages, communications and outreach. This reflects the program's belief that these three areas are mutually reinforcing and critical to the success of any policy research organization.
In this section, please describe how your institution has been working to strengthen these areas of your work in general, and more specifically towards achieving your institutional objectives. Please highlight also the progress that your institution has made to meeting any specific conditions stipulated in the Grant Agreement (where applicable).

2.1 Research Capacity

a. Please list and briefly describe the Think Tank Initiative-supported activities which your institution has carried out during the reporting period, relating to the research capacity objectives outlined above.

b. Do any of these activities differ significantly from the ones laid out in the workplan submitted to the Think Tank Initiative last year? If so, how and why?

c. Please explain how Think Tank Initiative support has helped in terms of research capacity.

d. Additional information:

   i. If not yet discussed, please describe any training, mentoring, other professional development opportunities your institution has introduced to support the research capacity of staff. How have these contributed, or do you expect them to contribute, to the overall research capacity of your institution?

   ii. Briefly describe any additional activities not referred to above which your institution has carried out in promotion of the broader goal of improving research capacity.

2.2 Organizational performance

a. Please list and briefly describe the Think Tank Initiative-supported activities which your institution has carried out during the reporting period, relating to the organizational performance objectives outlined above.

b. Do any of these activities differ significantly from the ones laid out in the workplan submitted to the Think Tank Initiative last year? If so, how and why?

c. Please explain how Think Tank Initiative support has helped in terms of organizational performance.

d. Additional information

   i. If not yet discussed, please describe any specific processes that have been introduced to support organizational performance (e.g. strategy development; workplanning; performance appraisal/incentivization; learning and reflection mechanisms). What difference have they made? How could they be further enhanced to maximise their usefulness?

   ii. If not yet discussed, please describe what changes your organization has seen in terms of levels and diversification of funding this past year. Has it mobilized new sources of funding? If so, what opportunities (research, organizational, policy) have been created

as a result of this new funding? Where applicable, please specify how TTI has enabled such processes.

    iii.   Briefly describe any additional activities your institution has carried out in promotion of the broader goal of strengthening organizational performance.

2.3   <u>Policy linkages, communications and outreach</u>

a.   Please list and briefly describe the Think Tank Initiative-supported activities which your institution has carried out during the reporting period, relating to the policy linkages objectives outlined above.

b.   Do any of these activities differ significantly from the ones laid out in the workplan submitted to the Think Tank Initiative last year? If so, how and why?

c.   Please explain how Think Tank Initiative support has helped in terms of policy linkages, communications and outreach.

d.   Additional information

    i.   If not yet discussed, briefly describe any additional activities your institution has carried out in promotion of the broader goal of strengthening policy linkages, communications and outreach.

3. Successes, challenges and lessons

a.   Please explain briefly how, and in which ways, Think Tank Initiative support has made a difference to your institution as a whole in the past year.

b.   Please describe any major successes your institution has celebrated this past year. Have any exciting innovations been introduced within your organization?

c.   Please describe any major challenges your institution has faced this past year and how it is working to overcome these.

d.   Please describe any major changes that have occurred during the past year, within or outside your organization, which have or will have an impact (positive or negative) on the achievement of the objectives supported by the Think Tank Initiative.

e. Please outline any lessons that have been learned this year which will help your organization to achieve its long-term vision and objectives.

f. Please outline any suggestions you may have that could enhance the support provided by the Think Tank Initiative.

Part II: Think Tank Initiative Annual Workplan and Budget

A workplan and budget are required annually, as set out in Attachment B (Schedule of Project Milestones) of the Grant Agreement. The following are the specific requirements for this submission:

- An institutional budget;
- A workplan for the upcoming year, which includes a description of the activities to be undertaken in three program focus areas (research capacity, organizational performance, and policy linkages, communications and outreach); and
- Budget estimates for the Think Tank Initiative/IDRC grant for each of the program focus areas.

1. Institutional Budget

The institutional budget consists of the institution's annual budget outlining **total projected revenues and expenses for the institution's current fiscal year**. The global budget must include information about the level and sources of revenues of the institution as well as the level and types of expenditure incurred by the institution. The expenditures should be broken down by nature, e.g. salaries and benefits, recruitment and relocation costs, consultant costs, communications, publications, travel, training, accommodation, telephone, postage and courier, research costs, office supplies, equipment, etc.

2. Annual workplan and budget estimates

a. In table format (see the example provided below), please outline your institution's workplan for the next year. The activities (those supported with funding from the Think Tank Initiative) should be organized according to the institutional objectives outlined in your annual technical progress report. The institutional objectives and activities should relate to the Think Tank Initiative's three program focus areas.

b. If necessary, along with the workplan table, please also provide a brief description of the activities listed in your workplan, explaining how they will contribute to the achievement of your objectives. As well, a description of types of expenses (e.g. salary costs) should be provided if not made evident from the description of the activities. Please be assured, however, that we will respect the spirit of the program and the flexible nature of the funding being provided, and that budgetary adjustments can be made if deemed necessary.

Example of workplan format. (Please insert content according to your specific objectives, activities, etc. The format may also be converted to Microsoft Excel and submitted as an attached file if preferred.)

Workplan 2013 – 2014:

	Q1	Q2	Q3	Q4	Budget estimates[1]
A. Research Capacity					
Objective A1: (Example: Strengthen in-house research capacity in response to growing national demand)					
Activity A1-i (Example: Recruit 3 senior researchers with expertise in governance)	■	■			
Activity A1-ii		■	■	■	
Objective A2					
Activity A2-i		■			
Activity A2-ii			■	■	
Activity A2-iii	■				
Other activities related to research capacity					
Activity	■	■	■		
Activity	■	■	■	■	
Activity	■				
B. Organizational Performance					
Objective B1					
Activity B1-i		■	■	■	
Activity B1-ii	■	■			
Other activities related to organizational performance					
Activity			■		
Activity				■	
Activity				■	
C. Policy Linkages, Communication and Outreach					
Objective C1					
Activity C1-i	■	■	■	■	
Activity C1-ii		■			

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[1] Provision of budget estimates for objectives and activities is optional.

Activity C1-iii					
Objective C2					
(Example: No activities planned for 2011-12)					
Other activities related to policy linkages, communications and outreach					
Activity					
Activity					
Activity					
				Total budget	

Grantee monitoring visit/trip report: Think Tank Initiative

Institution & location:	
Name of traveller:	
Date(s) of visit:	
Distribution:	
Date prepared:	
Trip report number:	

Individual(s) met:	

Purpose of visit:	

"Red Flags": observations on progress by grantee with actions identified as critical for continuing in program, such as establishing Board, strategic plan, etc.; and observed results/outcomes of any related actions; any alarming trends that may become red flags in the future. *[If none, enter n/a]*	

Research Quality: (Any new or emerging research themes? Any significant staff hire or loss? Any changes in needed infrastructure or facilities?)	
Specific RQ issue: **Research capacity development of individual staff** (any training, mentoring, other professional development taking place of significance to	

RQ/PL/OP?) *[If none, enter n/a]*	

Organizational performance (Any significant changes or needs in governance, management, research and support personnel, human resource, finance/accounting, knowledge management, etc. If so, why, how, when? Any results/ outcomes?)	
Specific OP issue: **Improvements in/diversification of funding for the organization** (changes in funding, any new donors now providing funding?) *[If none, enter n/a]*	

Policy Linkages (Any significant changes or needs	

relating to research policy linkages)	

Positive developments, innovations or most significant changes with respect to RQ/PL/OP? (what did you find most exciting or inspirational during your visit?)	

Additional reflections (e.g. general impressions from visit on opportunities and challenges for program; potential ideas/ questions for evaluative research; themes/topics or needs for more general OD support;	

reflections on PO/ grantee relationship)	

Follow up actions	**By grantee:**
	By IDRC: