

Project Document

Title	Process and partnership for pro-poor policy change
Objectives	The project seeks to identify and institutionalise innovative research and development mechanisms and approaches that lead to pro-poor policy outcomes. A series of case studies focusing on specific areas of policy change and in some cases specific projects including in their objectives impacts at policy level, will be carried out with emphasis on Eastern Africa. A major focus will be on identifying how policymakers source information that contributes to the policy process as well as the roles of research vis-à-vis non research actors and on communications between them. The case studies will provide a framework for the institutions involved to learn and adopt new ways of working to achieve their goals.
The problem and rationale	<p>As the development community increases pressure for researchers to demonstrate impact at levels from field production to national and international policies, scientists and their partners are beginning to recognise the need to work together in new ways. An extended research paradigm is now being advocated where institutional and technological innovations are the result of interaction among different actors with complementary contributions (Röling, 1996) and become a continuous learning process involving all actors, including biological and social scientists (Engel and van den Bor, 1995). The number and the quality of the links and communication between individuals and organizations that are 'seeking' to innovate is a key element in the rate of innovation.</p> <p>The DFID research funding framework for 2005-7 highlights the importance of getting research to users and of non-linear approaches to achieve policy impact (DFID, 2004). The paper also recommends development of common understandings and good links between researchers and other actors. Similarly, Leonard (2004) emphasises the importance of constructing a sound basis of knowledge and analysis of the actual conditions of poor livestock producers to inform local and international organisations that can advocate on their behalf. He also argues that in order to advance the interests of the poor it is important to work with the dominant forces of change, rather than against them and to be opportunistic, recognising and acting fast when opportunities for change occur. Consequently, the institutionalisation of approaches that allow research and development organisations to create a learning environment that fosters new ideas and ways of partnering, is imperative.</p> <p>To develop new approaches and to mainstream these within organisations, an understanding of how policy decisions are made and the role of research and other information in these processes is crucial. However, assessing the impact of research on policy is an underdeveloped research area. Attribution, is particularly complex because research-based evidence is only one of a range of factors influencing changes in policy or practice. The Overseas Development Institute (ODI) uses a historical analytical approach, which tracks back from a policy change episode to identify the key moments at which decisions were made combined with an analysis of the political context, to elucidate what role and influence research had vis a vis other sources of information on policy decisions. This method tends to under-estimate the impact of research compared to methods used by the International Food Policy Research Institute (IFPRI) which track forward from a given piece of research and tend to over estimate the role of research (personal communication, John Young). The International Research Development Centre (IDRC) has developed a third approach, called Outcome Mapping, which focuses on identifying desired changes in behaviour (of policy makers and practitioners) at the start of a research programme, and continuously tracking both the impact of the programme on those behaviours, and any changes the programme makes during implementation, and the reasons why. Ideally a combination of approaches is required.</p>

Justification and outputs

The current project responds to the need to better understand the processes and mechanisms that lead to pro-poor decisions at policy level, and aims to provide recommendations to improve the impact of ILRI's and its partners work.

Although there are reports of examples of successful partnerships using approaches where research is claimed to play a key role in tangible impact on development and policy these are often cases involving isolated individuals rather than arising as part of a change in institutional culture and buy-in to those approaches. There continues to be considerable debate about the contribution of research to political and institutional change and how innovation in partnership and process could improve this performance. The project will thus analyse and document the information, communication, partnerships, processes and other factors that influence the decisions of policymakers through a number of case studies, combined with an analysis of some of the key elements leading to success and failure of specific projects.

In order to move towards institutionalisation of new approaches it is important that the study allows opportunities for input from a broad range of stakeholders in the target organisations, including key decision makers. National and regional workshops will be used to engage with as many of those involved as possible and an open website constructed to facilitate exchanges during the process. In this way analysis will be conducted in an open manner to develop frameworks which assist research and development partners to develop new proposals.

Consequently, the project aims to achieve the following outputs:

- A validated methodology to evaluate the influence and role of research and other information on policy decisions and change
- Identification of innovative research and development approaches that lead to pro-poor policy outcomes.
- A framework (principles and processes) to guide development of new research and development projects
- Commitments from ILRI, NARS and partner institutions to move towards mainstreaming and institutionalisation of the identified approaches.

The outputs will be supported by a range of printed and web-based materials such as:

- A moderated web-based platform to facilitate sharing information between a broad network of research and non-research players.
- A series of ODI style working and briefing papers
- A range of specific information resources for different audiences which might include policy briefs, a summary brochure/booklet, practical tools and/or a set of guiding principles that recognise that there is no single solution to structuring the research process but that projects evolve and a range of possible approaches are selected and adapted
- An on-line version capturing the detail of the case study findings including episode studies, results of interviews seminars and workshops together with final lessons and recommendations.

Approach to research strategy and for impact

To achieve this, the project will undertake three country case studies and consultations with policy makers and practitioners in East Africa, while simultaneously engaging ILRI, NARS and partner institutions and management in discussions about the issues, and emerging results from the case studies.

The country case studies will include:

- a) A case focusing on a specific project, which is generally regarded by ILRI staff and partners to have had an influence on a specific area of policy change, taking an objective approach to evaluate the role of the research project and to identify the key processes which contributed to success.
- b) A case focused on a stream of research (a number of projects) addressing a particular area of policy where it is generally considered that there has been some policy change to determine if the influence expected was achieved and to identify the processes leading to success or failure.
- c) A case focused on an area of livestock-related policy where there has been a CLEAR policy shift (a new policy statement, a new law, or an irrefutable change in the way things are being done) to identify the sources of information and factors leading to the change.

A specific case study in the first category has already been identified. This will focus on the DFID bilaterally funded Smallholder Dairy Project (SDP) in Kenya, led by the Ministry of Livestock Fisheries Department (MOLFD) in collaboration with the Kenya Agricultural Research Institute (KARI) and ILRI. SDP has been working with stakeholders in the dairy industry addressing issues of the informal milk market and promoting, through partners, a change in the dairy policy, which

recognises the role of the informal trade. It is generally recognised by SDP partners, including DFID that the project activities with partners have been successful in changing mindsets and moving towards a new dairy bill.

Cases in the second category have not yet been identified, but a number of options are being explored. One option is to focus on a number of past ILRI research projects that addressed natural resource management in Ethiopia and which contributed to the debate on regulations related to land tenure and use in a number of fora together with a range of other stakeholders. It is generally felt by project staff that the ILRI research, although not solely responsible for recent reforms that led to the issuing of land certificates, have contributed to them.

Two options have been identified for case studies in the third category:

- The new Dairy Act in Tanzania passed early in 2004 which streamlined pro-poor issues such as allowing sale of raw milk, supporting small scale milk traders and ensuring representation of these groups in the Dairy Board – the regulatory and development agency.
- New Ordinances developed by Kampala City Council through a participatory process with farmers and other stakeholders. There are five new ordinances, regulating Urban Agriculture, Urban Livestock and Companion Animals, Milk, Meat and Fish processing and handling. They provide for temporary permits as the City Council attempts to document and regulate these informal sector enterprises (They do not apply to subsistence enterprises).

Case study approach

The approach used in each case study will be slightly different, but will seek to combine the best elements of three distinct methodologies:

- Case study analysis of specific research projects – tracking forward from specific research and related activities implemented by specific projects to assess the impact they had (the IFPRI approach).
- Episode studies of specific policy changes – tracking back from policy changes to identify key actors and decisions, and assess the relative importance of different factors, which might have included research-based evidence (the ODI approach).
- A retrospective outcome mapping – identifying the observed (in the Episode studies) or planned (in the project case studies) changes in behaviour and analysing what was done, or happened to bring them about (the IDRC Outcome Mapping Approach).

The country case studies will involve:

- A literature review of relevant project and external documentation
- Interviews and focus group discussions with a wide range of stakeholders identified at the start of the case study
- The development of a time-line describing the key events during the evolution of the policy process (or project), the key actors and the key decisions.
- The development of recommendations on the factors that lead to successful impact of research on policy identification, formulation and implementation
- Discussion of the results with researchers, policy makers, practitioners and other stakeholders implicated in the policy change in individual meetings and country workshops.
- The establishment of a project website for contributions and comments from case study participants and a broader audience.

Engagement with ILRI:

The project will seek, from the outset, to engage the interest and support of a wide range of ILRI staff using a variety of means. These are likely to include:

- An initial awareness-raising seminar to introduce the project and current knowledge about research-policy interactions.
- Involvement of ILRI in the country case studies.
- Invitations to other ILRI staff to attend the initial training / capacity-building workshop primarily designed for country case study staff.
- Invitations to other ILRI staff to take part in the country case studies – in particular the country workshops
- Seminars in ILRI to discuss the results of each of the country case studies
- Posting information about the project on internal ILRI notice-boards and intranet sites.
- Encouragement of ILRI staff to engage in web-based discussions.
- Involvement of ILRI staff in the Regional Workshop.
- Follow-up discussions with senior ILRI staff following the Regional Workshop.

Engagement with National Programmes

The project will directly engage with national programmes through the country case studies and workshops, the regional workshop and through publications and the web site. The project will also seek to engage with staff in a number of other national and regional programmes including:

- The Eastern and Central Africa Programme for Agricultural Policy Analysis (ECAPAPA), a programme of the Association for Strengthening Agricultural Research in Eastern and Central Africa (ASARECA).
- A GTZ funded project led by ECAPAPA "Strengthening Impact Orientation of Agricultural Research in Eastern and Central Africa".
- The new World Bank funded Kenya Agricultural Productivity Project (KAPP) which aims to integrate National research activities and increase impact both at farm and policy levels. A key component of this project will be to address the issue of how research informs the policy making process.

ILRI already has a close working relationship with key staff on these programmes (eg Dr Mwangi, the Assistant Director in charge of Animal Production research at KARI will play a key role in the implementation of KAPP) and will ensure that they and other staff are informed of progress and have the opportunity to comment on study results. Key staff will be invited to participate in project workshops and in website exchanges and the possibility of shared case studies will be explored.

Specific activities and milestones will include the following:

Activity	Due date
Initial discussions to finalise project design and awareness-raising seminar in ILRI	Dec 2004
Recruit post doc who will be direct link with ODI expertise	March 2005
Workshop in Kenya for ODI to train project staff in methodology developed by IDRC/IFPRI and ODI to determine policy impact.	Jan 2005
Kenya Case Study Fieldwork (evaluation of SDP), led by ODI team	Jan-Feb 2005
Kenya workshop to discuss the results	Feb/March 2005
Kenya case study written up and published in printed and web-based formats	March 2005
Establish moderated website built to facilitate interaction of groups within and between countries and allow posting of case study updates.	March 2005
Evaluation of remaining two case studies in a second and third country in the region (probably, Ethiopia and Uganda or Tanzania) including in-country workshops, publication of case studies and web discussions etc	April-Oct 2005
Compilation of results of all country case studies, printed and web-based publications and preparation for regional workshop	Nov 2005- Feb 2006
Regional workshop: Key representatives from DFID and from the organisations in each country will meet to consolidate lessons learnt from each case-study. A framework for guiding new projects will be developed.	March 2006

ILRI's revised strategy envisages a role for ILRI in creating platforms for participants in research and development to come together to develop a shared vision and to clarify their functions roles contributions and interactions among themselves. Such platforms and new approaches are primarily seen as a means to facilitating implementation of research in new ways to ensure impact at policy as well as production levels. As ILRI accepts the need for institutional change it is uniquely placed to develop a learning environment for itself and its partners to ensure that there is acceptance and adoption of new approaches at an institutional level rather than exclusively at a project level.

ODI's Research and Policy in Development programme aims to improve the use of research in development policy and practice through improved knowledge about research-policy links; improved knowledge management and learning systems; improved communication; and improved awareness of the importance of research. The programme has developed an analytical and practical framework to evaluate the complex factors influencing research uptake and researchers and help policy makers work together to develop and implement evidence-based policy. This project will provide an opportunity to test the value of the framework for improving research-policy processes in ILRI and its partners in East Africa.

DFID's new research strategy emphasises the need for more integrated research. More funds will be spent on multilateral research while bilateral research will be managed in larger programmes

Specific activities and milestones

Value of project for partners

focusing on a smaller range of key development programmes. The strategy recognises the importance of improved communication with all stakeholders throughout the research process, including policy makers, practitioners and beneficiaries to identify researchable problems and to ensure the results are used. DFID will explore this new, more integrated, approach in two or three action-research programmes. This project will provide an opportunity for DFID to learn how to do this with a wide range of stakeholders in eastern Africa, and at the same time, how the new approach can be institutionalised by ILRI, a major CGIAR institute and their partners.

Project location

Kenya, Ethiopia and Tanzania or Uganda

Collaboration and capacity-strengthening

Key collaborators

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Case study 1 participants identified

Collaborators and partners in the Small holder Dairy Project, a DFID funded bilateral project led by the in Ministry of Livestock and Fisheries Department (MoLFD) in collaboration with the Kenya Agricultural Research Institute (KARI) and ILRI. SDP have observed many changes in national opinion on the role of the informal dairy sector which provides income and jobs for large numbers of poor in the country. Plans to pass a new dairy bill are underway and indications are that the new bill will allow for broad stakeholder involvement in the legislative bodies. Lead SDP staff from MoLFD (Angela Wokabi) and KARI (Dr Miano Mwangi) are senior staff in their respective institutions.

Responsibilities of key collaborators

ODI will cover/provide/deliver

- Intellectual leadership and much of the content for initial workshops and seminars
- Intellectual leadership and much of the content for the initial project plan, and Kenya Country Case Study Methodology
- Intellectual leadership and full-time staff support to the Kenya Country Case Study (in collaboration with KARI/MoLFD staff and consultants)
- UK-based support and advice on the other country case studies
- Editorial responsibility (and much of the content of) the Kenya Country Study printed and web-based reports
- Intellectual leadership and specific Kenya Case Study content for the Kenya Country Study workshop.
- Workshop-based and on-the-job training for the ILRI Post Doc and UK-based support and mentoring as required.
- Comments on other country case study and workshop material.
- Editorial support with all web-based and printed project outputs (especially in the first year, but less in the second year as the ILRI Post Doc takes over).
- Advice as necessary on integration and synthesis of country case studies
- Support with development of programme and material for the regional workshop
- Support and advice with processes for institutionalisation in ILRI

ILRI will cover/provide/deliver:

- Overall project management
- Contractual reporting to DFID
- All liaison and coordination with ILRI, CG, NARS and other organisation
- Approximately 2.5 months of senior ILRI research staff time
- All logistical support for field trips and workshops etc
- All subcontracts / coordination / management of the field studies
- Intellectual leadership of the Ethiopia and Uganda country studies / reports / workshops etc

Both ILRI and ODI will contribute to technical web site development and management and print-based material production

Duration

December 2004 – March 2006

References

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IDRC (2001) Outcome Mapping: Building Learning and Reflection into Development Programs, Sarah Earl, Fred Carden, and Terry Smutylo.

ODI (2004): Bridging Research and Policy in International Development An Analytical and Practical Framework, RAPID Briefing Paper 1

IFPRI (2002) Impact Evaluation: Assessing the Impact of Policy-Oriented Social Science Research

Log frame

See insertion below

Narrative Summary	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
Goal			
CG, NARS and partners implement research that contributes to pro-poor policy outcomes			
Purpose			
Identify and institutionalise innovative research and development approaches leading to pro-poor outcomes	Institutions adopt innovative approaches	Research reports describing research using new approaches	The new approaches are effective at leading to pro-poor outcomes
Outputs			
<p>1. Refined methodology to evaluate role of information on policy change</p> <p>2. Identification of innovative R&D mechanisms that lead to pro-poor policy outcomes</p> <p>3. A framework to guide new R&D projects</p> <p>4. Commitment from key CG, NARS and partner institutes to institutionalise new approaches</p>	<p>Refined methods developed and tested in case study 1 by March 2005 and studies 2 and 3 by March 2006</p> <p>Mechanisms contributing to pro-poor policy outcomes identified by March 2006</p> <p>Framework developed by March 2006</p> <p>Commitments made by March 2006</p>	<p>Information materials that might include 'how-to-do-it guidelines'</p> <p>On-line details of case study outcomes and ODI style working and briefing papers</p> <p>A brochure/booklet or guidelines outlining the framework</p> <p>Workshop reports and proceedings</p>	<p>Methodology is used to identify information sources and communication channels used by policy makers</p> <p>Staff within institutions accept the need for new approaches and start to implement them</p> <p>The framework is user-friendly and acceptable to target institutions</p> <p>Institutions from senior management down accept need for new approaches</p>
Activities			
Plan case studies and present awareness raising seminar (by 12/04)			ODI and ILRI staff are available
Recruit post-doc (by 03/05)			A suitable post-doc can be identified and contracted
ODI led training workshop (by 01/05)			Suitable case studies can be identified
<p>Kenya case study field work (by 02/05)</p> <p>Kenya workshop (by 03/05)</p> <p>Establish moderated website</p> <p>Case study 2 field work and workshop (by 07/05)</p> <p>Case study 3 field work and workshop (by 10/05)</p> <p>Prepare information materials (by 03/06)</p> <p>Regional workshop (03/06)</p>			Senior management staff are willing to engage with researchers and evaluate outcomes with a view to promoting the new strategies within their institutes