

**Influence of Research on Public Policy
Workshop Report #3:
Bangkok
13 & 14 January 2003**

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Executive Summary

Policy influence is an important target of IDRC's programming framework. Although the Centre has gained considerable experience in supporting policy inquiry over many years, it has not yet clearly articulated what it means by "policy influence" or "policy impact"; nor has it developed a systematic, corporate understanding of its successes, limitations, and the factors that either facilitate or inhibit policy influence. To address this, IDRC's Evaluation Unit is currently conducting a study to examine the following three questions: (1) What constitutes policy influence in IDRC's experience; (2) To what degree, and in what ways, has IDRC-supported research influenced public policy; and (3) What factors and conditions have facilitated or inhibited the public policy influence potential of IDRC-supported research projects.

As part of this evaluation, a series of 25 case studies covering projects in over 20 countries were conducted which encompass the range of research and geographic areas covered by the Centre's programming. Upon completion of these case studies, the Evaluation Unit planned and organized a series of regional workshops in order to provide an opportunity for IDRC staff and partners to: 1) verify and confirm that the information in the reports was accurate; and 2) reflect on these cases in terms of what happened, how and why.

The third of these workshops was held in Bangkok on January 13 & 14, 2003 and addressed six case studies. The case studies were: MIMAP (Philippines and Bangladesh); the Asian Fisheries Social Sciences Research Network (AFSSRN); Tobacco Control in Thailand; "Local Strategies for Water Supply and Conservation Management" (phase I) and "Catalyzing Change: Local Supply and Conservation Responses to Water Management" (phase II); the Society for Research and Initiatives for Sustainable Technologies and Institutions (SRISTI); and The Development of Nepal's IT Policy. Thirty-four people participated in this workshop and included the IDRC ASRO and SARO Regional Directors, the consultants who conducted the case studies, project leaders and research partners, IDRC Program staff from ASRO, SARO and Ottawa, and a few subject area "experts". Fred Carden of the IDRC Evaluation Unit facilitated the workshop. This report outlines the purpose and objectives of the workshop, summarizes the presentations, and documents the issues highlighted and any outputs from the plenary and small group sessions.

Presentations and discussions focused on the project contexts, strategies and activities to influence policy, the types of influence perceived to have occurred, the factors that were believed to have facilitated or inhibited policy influence, and on key issues and challenges associated with supporting and carrying out research to influence policy.

Some of the issues that were given more attention in this workshop than in the previous two workshops include:

- That not all research is public policy oriented nor should it be – “*Public policy is not the end, development is the end*” and as such work that is done may influence policy but may also have other contributions to development, which we should not lose sight of.
- That not all of the work that was examined intended to have policy influence at the outset often because it was first necessary to build capacity, but then later policy influence did become a more important focus of project activities. And,
- The existence and implications of the policy-implementation gap. For example, it was recognized that not all developed policies are necessarily good ones nor do they all get implemented or are likely to be implemented in the near future. This has implications on one’s assessment of the “quality” of the policy influence and of the impact that the project may have had on people’s lives, for example. Finally, this policy-implementation gap was also recognized as having implications for IDRC, for example in terms of the political and ethical implications of supporting policy implementation and on the fit to IDRC’s mandate of supporting research.



1.0 Purpose and Objectives of the Workshop

Policy influence is an important target of IDRC's programming framework. Although the Centre has gained considerable experience in supporting policy inquiry over many years, it has not yet clearly articulated what it means by "policy influence" or "policy impact"; nor has it developed a systematic, corporate understanding of its successes, limitations, and the factors that either facilitate or inhibit policy influence. To address this, IDRC's Evaluation Unit is conducting a study to examine the following three questions: (1) What constitutes policy influence in IDRC's experience; (2) To what degree, and in what ways, has IDRC-supported research influenced public policy; and (3) What factors and conditions have facilitated or inhibited the public policy influence potential of IDRC-supported research projects.

As part of this evaluation, a series of 25 case studies covering projects in over 20 countries were conducted which encompass the range of research and geographic areas covered by the Centre's programming. The cases represent IDRC-supported research projects that were designed, intended or expected to somehow contribute to the formulation and the implementation of public policy. Upon completion of these case studies, the Evaluation Unit planned and organized a series of regional workshops in order to provide an opportunity for IDRC staff and partners to:

- (1) Verify and confirm that the information in the reports was accurate; and
- (2) Reflect on these cases in terms of what happened, how and why.

It was envisaged that this reflection and learning would deepen the interpretation and analysis of each of the cases from both a regional perspective, as well as from an organizational perspective. Participation in these regional analysis workshops usually included the consultants who conducted the cases, project leaders and research partners, Program Officers from the region and headquarters, Regional Directors, one or two "experts" from the region, and one or two members of the evaluation team to assist with the design, logistics and facilitation of the workshop.

The third of these workshops was held in Bangkok on January 13 & 14, 2003 and addressed the following 6 case studies: MIMAP (Philippines and Bangladesh); the Asian Fisheries Social Sciences Research Network (AFSSRN); Tobacco Control in Thailand; "Local Strategies for Water Supply and Conservation Management" (phase I) and "Catalyzing Change: Local Supply and Conservation Responses to Water Management" (phase II); the Society for Research and Initiatives for Sustainable Technologies and Institutions (SRISTI); and The Development of Nepal's IT Policy. This report outlines the purpose and objectives of the workshop, summarizes the presentations, and documents the issues highlighted and any outputs from the plenary and small group sessions. Except for the small group sessions, the workshop was audiotaped with a transcript provided. This enabled the evaluation team to capture the discussions and

learning that occurred throughout the workshop as a set of data for further analysis. This workshop report was written from the transcript. Unfortunately there were technical difficulties during the taping of some sessions, which affected the quality of the transcript. Notes taken by the evaluation team at the workshop were used to supplement the transcript in the writing of this report to try to ensure that the report reflects as accurately as possible the dialogue at the workshop.

2.0 Participants¹ and Workshop Organization

There were 34 participants and one facilitator present at the workshop. Among the participants were the IDRC ASRO and SARO Regional Directors and several people involved in each of the case studies including the consultants who presented the case studies, IDRC program staff from Ottawa, SARO and ASRO and researchers. In addition, there were a few participants present who were not involved in the cases directly but who are involved in other initiatives either trying to influence policy or trying to improve the capacity of projects and programs to influence policy. Dr. Evert Lindquist, who developed the framework on which the case study methodology was largely based and who will be involved in the synthesis of some of the findings of the case studies, gave a presentation and participated in the discussions. Fred Carden of IDRC's Evaluation Unit facilitated the workshop.

The two-day workshop was designed to provide participants the opportunity to:

- Provide specific input to deepen the preliminary analysis of the case studies which the consultants can use in finalizing their case reports; and
- Deepen the understanding of how research can influence policy and the strategies and activities that can facilitate that.

Specifically, the agenda incorporated the following sessions:

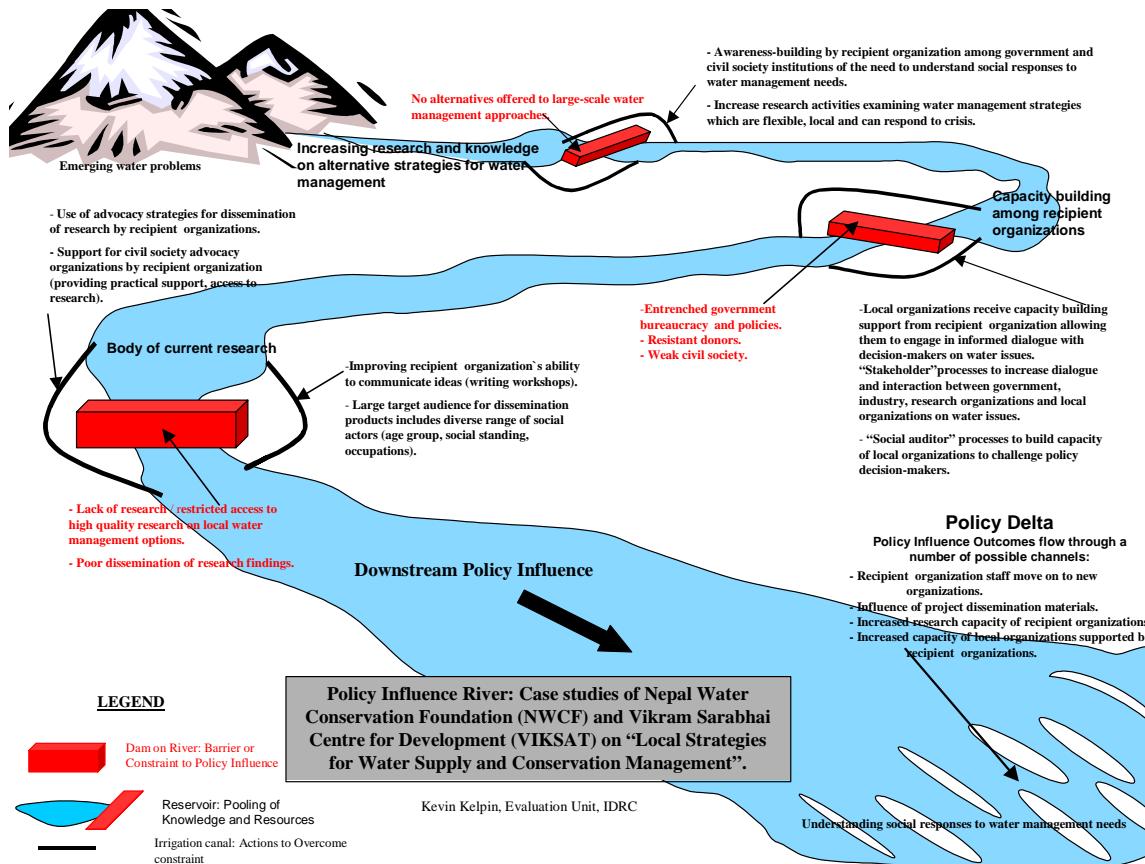
- Poster Viewing Session.
 - In a gallery-type setting, participants examined posters prepared by case consultants that illustrated case-specific issues in research influencing policy. This session provided an opportunity for participants to deepen their knowledge about the case studies to be discussed during the workshop.
- Overview of the Strategic Evaluation “*The Influence of Research on Public Policy*”.
 - Fred Carden gave an overview of the objectives, the users, the process and the expected products of the strategic evaluation, and situated the purpose and agenda of the workshop within the context of the overall study.

¹ For a list of participants and their coordinates please see Appendix 1.

- “*Research to Policy: an Overview*”.
 - Dr. Caroline Pestieau gave an overview of the research to policy bridge from a practitioner’s point of view and as one who knows IDRC well.
- Overview of the Case Studies.
 - The consultants responsible for preparing case studies presented an overview of their respective cases covering the projects’ context, inputs, processes, and key findings related to policy influence to date. A few minutes were provided at the end of each presentation for participants to seek or provide points of clarification and to make observations.
- Typology of Policy Influence.
 - Evert Lindquist presented a framework to conceptualize the impact of research on policy-making, which included a typology of policy influence.
 - Small group work followed where participants discussed the specific types of policy influence identified in the various case studies to verify and build on the findings, and to discuss the framework presented by Dr. Lindquist. The groups reported back in plenary.
- Forces and Factors in the Research to Policy Process.
 - Ronnie Vernooy of IDRC invited participants to engage in a participatory exercise to explore some of the processes exemplified in the case studies from a sociological perspective. The small groups reported back in plenary and discussed the outputs and the exercise.
- Performance.
 - Fred Carden presented an overview of what they have learned so far about policy influence from the performance in the case studies.
 - Following his presentation participants formed two small groups, representing researchers and IDRC, to discuss any additional elements of importance in performance and to come up with three priorities to improve performance of future activities from both a researcher and IDRC perspective.

3.0 Poster Viewing Session

Because the cases for this workshop covered a wide range of programming at the Centre, many of the participants were unfamiliar with some of the cases. In order to increase the amount of information participants had about each case, each consultant was asked to prepare a poster on their case study. The posters were intended to illustrate the context in which the project was carried out, what was done in the project, and what policy influence outcomes were achieved. About 1.5 hours was allowed for participants to view the posters and discuss cases with the consultants. The posters remained up for the duration of the workshop.



**IDRC-Supported Research and its Influence on Public Policy:
A Case Study Analysis of the Asian Fisheries Social Science Research Network**

Robert Probert, Department of Agricultural and Resource Economics and Coastal Fishery Grant Program
University of Connecticut-Avery Point, Groton, Connecticut USA

Context:

In the early 1990s, the issue of poor sustainability of fishing and environmental degradation of coastal resources was high on the agenda of governments in Asia.

There was growing recognition that traditional fisheries policies could not sustain economic, political and ecological integrity and that a broader, multidisciplinary approach was needed to address these issues.

There was a desire to create networks working together, transparently and inclusively, to advise and support local issues to improve policy.

An experimental program to determine what policy research

Governance policy models were rapidly changing from theoretical to practical issues to improve policy.

United international fisheries research had a policy influence.



The Network aimed to overcome these problems through:

- learning
- networking and advanced applied research activities
- information exchange
- seminars
- workshops
- exchanges

The Network had four phases from 1990 to 2003 as follows:

- Phase I (1990-1992)
- Phase II (1993-1995)
- Phase III (1996-1998)
- Phase IV (1999-2003)

Each phase had different objectives and research priorities.

Geographic focus was Southeast Asia including Philippines, Thailand, Indonesia and Vietnam.

Coordination was provided by the International Center for Living Aquatic Resources Management (CILAM) based in Manila, Philippines.

Inputs: The APFSRN

The Network sought to achieve the following:

- 1. diverse, integrated UG research-based models
- 2. active, institutional support for long-term fisheries social science research
- 3. The Network's objective was to build research capacity to address important social science issues in the development and management of fisheries resources in the region.

Mr. Phayut Suvannakudt is senior official in the Department of Fisheries, Thailand

Mr. Robert Probert, Coastal Lesser Seas University, Philippines

Phase I (1990-1992)
Focus on capacity development and research using local input priority

Phase II (1993-1995)
Focus on policy analysis and basic social science research capacity building

Phase III (1996-1998)
Gaining leadership to undertake policy research, policy advocacy, communication, resource and policy-makers and managers

Phase IV (1999-2003)
Strong emphasis on policy research,
high capacity of members by the policy research and link with policy makers

Outcomes: The APFSRN and its influence on Public Policy

The Network, as a process, was not designed specifically to have an influence on public policy.

The Researcher's meeting objectives was to build national research capacity for sustainable development and reduce issues on the management of fishery resources in the region.

However, the competing, sharing and educating, research support, and information, documentation activities and body density and diversity influenced policy by fisheries and aquaculture in the region.

There were a number of changes in the Network's development and links to its policy influences. These stages, did at least not fit a linear with some going in one direction and others another:

- 1. limited capacity and relatively low in the initial stage
- 2. increasing research, skills through training and education and small research grants programs
- 3. growing confidence
- 4. increasing and intensification of network
- 5. linking and more research, more training, more influence
- 6. influencing world
- 7. growing ability to others connecting

13 - 4 - 2003

FEAST OR FAMINE? CAMBODIA'S ESSENTIAL FISHERIES RESOURCE UNDER THREAT

Together with rice, fisheries form the backbone of Cambodia's food security and provide invaluable revenue and employment, especially among rural households that still comprise almost 30% of the country's poor.

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Due to a number of threats the productive capacity of the Tonle Sap ecosystem is declining and with it, its capacity to feed the Cambodian population.

13 - 4 - 2003

Seeking Success: Thai Tobacco Control

2003

13

Prakit Vateesatokit, M.D.

Dean, Faculty of Medicine, Ramathibodi Hospital
Executive Secretary, Action on Smoking or Health

Context

1. A tobacco market, dominated by a sluggish, state-owned tobacco monopoly, that became the target of aggressive transnational tobacco companies.
2. A group of public health leaders who shared the knowledge, motivation, and conviction to reduce smoking and resist the tobacco industry.

Inputs

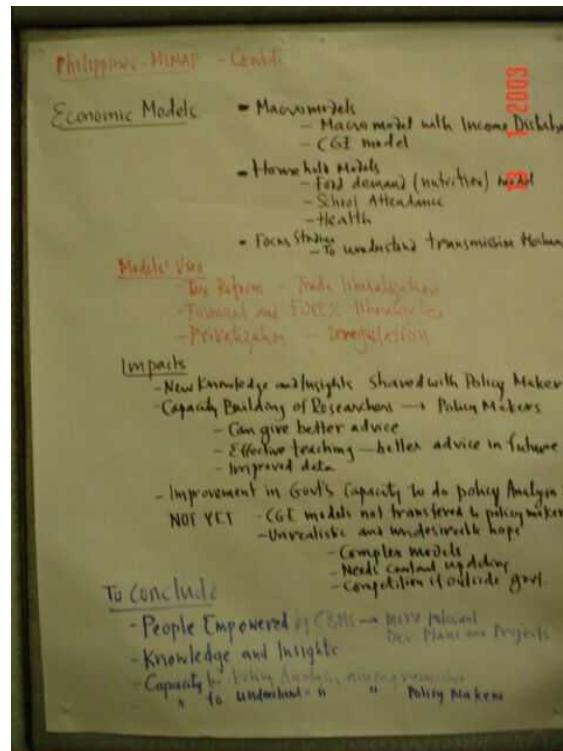
1. International research on tobacco epidemiology and economics and the analysis of national statistics and public polls with advice and consultation from foreign experts.
2. Creative leadership by seizing opportunities for change.

Processes

1. Research and public advocacy through professional organizations, NGO activities, and mass media coverage.
2. Political gamesmanship to gain support from key officials and legislators, and to thwart the political and legal strategies of the tobacco industry.

Outcomes

- Passing two comprehensive tobacco control laws in 1992
- Establish the tax for health policy in 1993 (Six tax increases in nine years)
- Use a dedicated tax for tobacco control through the Thailand Health Promotion Foundation





1 2003

Grassroots Participatory Research with Farmers CAN Influence Policy Change: Lessons from the CBNRM Program

● Research Results:
Local resource management contexts are much more complex and variable than government policy assumes.

● Researchers' interest:
How can we better explain our results to government officials and help craft more effective Natural Resource Management policies?

● Researchers' insights:
Researchers have widely varying (often implicit) notions of what "policy-making" is, partly because they come from very diverse political contexts: from opaque with few evident opportunities for access & influence, to quite open & pluralistic.

Influencing policy making

➤ Very few CBNRM projects set out to study or change policy. The focus is on poor resource-dependent farmers and fishers and how they interact with highly-stressed natural resources.

➤ Researchers increasingly identify the need for deliberate and direct policy influence and have started to set examples by doing things differently at the local level.

➤ Some of the researchers are themselves in policy-making positions in national government agencies, and wish to more effectively resolve their ~~current~~ roles.



CBNRM I



4.0 Overview of the Strategic Evaluation: “*The Influence of Research on Public Policy*” by Fred Carden²

Fred Carden of the Evaluation Unit, IDRC gave an overview of the strategic evaluation emphasizing that the main focus of the study is to build understanding of how research influences public policy. This area is an important aspect of what IDRC does and is increasingly within its mandate. As such, staff need tools and methods to help design, monitor and evaluate projects in that area. Dr. Carden emphasized that while this subject is the focus of the strategic evaluation and this workshop, it is not by any means the whole mandate of IDRC.

Objectives of the Strategic Evaluation

The study is trying to answer three questions:

- (1) What does IDRC mean by influence on public policy, as an organization?
- (2) Where have IDRC-supported research activities had public policy influence?
And,
- (3) What are the factors that have facilitated or inhibited influence on public policy?

Users of the Findings

The primary focus of the use of the findings is on IDRC program staff and management to improve the delivery of policy influence research. Secondary users are the research community with which IDRC works and other researchers and agencies interested in the influence of research on public policy.

Process

The study involves a number of varied activities and includes the following:

- Conduct a series of background studies and background research (e.g., Literature Review, the preparation of a Framework, review of IDRC activity and findings in the area to date);
- Carry out field work – the primary data gathering tool and includes the case studies and workshops as well as other case work (e.g., TIPS);
- Analyze the findings – through the workshops, work with the advisory group, issue analysis (e.g., What are the gender aspects of policy influence research?);
- Generate the products – a number of products are planned including workshop reports, a volume on the findings of the whole project, a series of management notes, and a guide on tools and methods focusing on how to assess policy influence potential at the design stage, and how to (better) monitor and assess policy influence in projects;
- Disseminate products – in collaboration with the Communications Division.

² The complete set of presentation slides can be found in Appendix 2.

5.0 “Research to Policy: An Overview” by Caroline Pestieau

Dr. Pestieau presented an overview of the “research to policy bridge”. She began by pointing out a number of assumptions associated with the issue which include: 1) it assumes that empirically-based policy is valuable, but difficult to achieve; 2) the definition of policy is public, and usually national, policy; 3) IDRC is interested in looking for impact on policy-makers in the South and not on donors; and 4) “South” and “North” are used as shorthand for less developed and developed countries, respectively.

The research to policy bridge has been studied largely from a North American and Northern European perspective to date. Dr. Pestieau emphasized that the strategic evaluation is important because this issue is only starting to be addressed in the South (e.g., the GDN), and because there are a number of hypotheses that suggest that the southern context will provide a different perspective on how research can influence policy than is available so far. Some of these hypotheses on the differences in the southern context include:

- The national actors are not alone: IFIs and donors intervene.
- The power relationships are more explicit - a factor often ignored by Northern academics.
- The intermediary actors are less well developed and more personalized.
- Moving from policy decision to implementation (the “implementation deficit”) is more challenging due to lack of financial and human resources.
- There is a lack of confidence in, legitimacy of, national research centres.
- There are high turnover rates among researchers and policy-makers. And
- The continuity in supplying good research is difficult.

On the later point, Dr. Pestieau noted that one of the cases, the Asian Fisheries Social Sciences Research Network is a fantastic example of continuity, but is quite a rare occurrence.

Dr. Pestieau discussed the changing nature of knowledge production, which she believes may be less relevant to the Southern context. For example, increasingly the users of research are involved in problem definition and provide feedback and build on the objectives as the research moves along. Furthermore, research is increasingly being funded by the private sector (again to a lesser extent in the South) and carried out by multidisciplinary teams, and research entrepreneurs and policy entrepreneurs increasingly serve an intermediary role in bridging the production and use of knowledge, although often translating and transforming knowledge in a way that suits them.

This new process of knowledge production has implications. For example, in the North it creates a certain continuity between research and policy, and research is likely to be more relevant even though it has been translated. There is also a danger however that research is being privatized and manipulated, and so the

isolated researcher has virtually no impact. A question of interest is: How relevant is this new knowledge production mode to the South?

Dr. Pestieau discussed two different ways that the interface between research and policy can be organized and managed. The first model was developed by Paul Cross for a Canadian situation and embraces the concept of policy communities, where a large group of actors (e.g., politicians, civil servants, bureaucrats, firms, unions, NGOs, mayors, provincial governments) work together to develop policy. There is an interdependence between the bureaucrats and the non-governmental stakeholders: where the government wants input from those affected by the policy to gain legitimacy and the non-government actors want to make sure that the policies are to their advantage. The actors within the policy community educate each other to what advantages are possible, and exclude those with extreme views. Finally, there is an outer circle in these policy communities which Cross calls the “attentive public”, made up of academics, journalists, political opposition members, and critical NGOs who want to introduce new ideas and change.

Another perspective is to see the policy process as proceeding through an uptake pathway, which is guarded by multiple gatekeepers who ignore or compete with each other. Here there is a disincentive to network and share information. Each gatekeeper has to be convinced that the policy change is worth considering. Each can be bribed, persuaded or sometimes bypassed but the task will have to be done over and over again in the absence of a policy community. There are case examples from the South suggestive of each of the above models and where institutional relationships and habits were important in explaining the process.

Lastly, Dr. Pestieau briefly addressed policy windows and the importance of understanding the nature of the demand for knowledge. For example, is there a demand for change or are we looking more at an “enlightenment” function of research where we might be willing to take a risk and invest in quality research today for a downstream return (a situation which she understands to have paid off enormously in the case of MIMAP now feeding into the PRSP in Bangladesh)? This raises the issues of creating windows of opportunity and whetting the appetite for change and whose responsibility this is, as well as what are IDRC’s expectations of the project and the project leader with regard to policy change and the extent to which project leaders should assume responsibility for policy influence.

Discussion points following the presentation included:

- Influence of policy is the focus of the strategic evaluation and this workshop, but it is not all that IDRC does or should do.
- Researchers are asking - Are we meant to influence policy and if so how so? Not all researchers want to work in the direction of policy influence.

- The implementation gap is a challenge and at least one case speaks to that. It is one thing to develop policies it is another to implement them. This may be the real “test” of policy influence, because there is no point in developing a policy or persuading someone to adopt a new policy if he/she has no intention of implementing it.
- Allocation of resources to research, policy influence, and follow-up on implementation, for example, become relevant and difficult to deal with because changing mentalities takes a long time. This is reminiscent of a Dutch expression: “Nobody can actually point to the moment when a new way of looking at the world happens, but over time people are looking at the world in a different way”.

6.0 Overviews of the Case Studies and Highlighted Issues

6.1 Case Study Overviews

6.1.1 MIMAP Case Study Overview by Kirit Parikh

Dr. Parikh presented an overview of MIMAP in two countries, Bangladesh and the Philippines.

MIMAP Philippines

Dr. Parikh opened by providing some background on the context within which the Philippines project was set. For example:

- Philippine population: about 75 million;
- 39.5% of the (counted) population are below the poverty line;
- There are 79 provinces in the Philippines, with a fairly even distribution of people among them living in some 41,000 little village communities.

One of the main elements of the project is community-based poverty monitoring in the province of Palawan. This province is geographically very large and varied and has a small population of some 600,000 people and is typically represented. Given these characteristics, the experience there may be replicable in other areas.

With the help of the project, village level community-based groups have created and are maintaining a village level poverty-monitoring database, which is placed on the notice board in the community room for everyone to see. The database uses a set of 16-18 simplified indicators. While some may argue that from an academic point of view the indicators are too incomplete and thus unsatisfactory, Dr. Parikh believes that they are very important for the successful marketing and easy interpretation of the tool - i.e., the very important trade off has been that ordinary people can understand the data and easily compare the state of their village with neighbors in other villages. This data has been used in the formulation of policy profiles and the compilation of small area statistics.

After speaking with various level officials in Palawan such as the governor, the vice-governor and some planning officers in the state, as well as people in the village, Dr. Parikh believes that there appears to be genuine community involvement and ownership of this project among officials from the state to village level and among villagers. For example, he saw first hand evidence of policy influence when he heard the Governor refer to the community-based monitoring program several times in his State of the Province speech. Dr. Parikh also believes that the project has affected village people as evidenced by the type of projects they are requesting – he feels that their priorities are quite different than one would expect.

Dr. Parikh summarized the influence of the community based monitoring system as follows:

- Created awareness and empowerment in people;
- Created knowledge and insights and capacity building;
- Lead to a demand for certain types of development projects; and
- Had an impact on the types of development projects and activities that get undertaken in the Philippines.

Factors believed to contribute to the success of the project include:

- A sustained effort;
- Continuity in the officials (i.e., not a lot of turnover);
- Simple indicators;
- Client interest/demand from the beginning of the project (the clients came to MIMAP asking for help setting up such a system); and
- Creation of a window of opportunity for this demand by the project through developing capacities in the area.

Dr. Parikh referred to the ongoing community based monitoring as extension work but stressed that it took complicated research to design the simplified system that could be run by the community.

Two other elements of the project were the development of various economic models and their use in focus studies to understand the transmission mechanisms from macro policy to micro impact.

Dr. Parikh summarized the impact of these modeling exercises as follows:

- The generation of new knowledge and insights and sharing this with policy makers;
- Capacity building of researchers (especially to think holistically); and
- CGE (computational general equilibrium) models are used as a teaching tool in the Philippines.

Dr. Parikh does not believe that the modeling work has as yet led to an improvement in the government's capacity to do policy analysis. The modeling is not housed in the government, probably because it is too complicated and there has not been enough research effort put in to make them simple and easy to understand and operate. However, Dr. Parikh added that it is not even desirable that they be housed in government because government should not get into the modeling business - this is difficult work that needs constant updating and people with very specific skills to do it. Once these capacities are developed these individuals become very attractive to others, and often move out of government.

MIMAP Bangladesh

This case is similar to the Philippines case except that the poverty monitoring and modeling were done in a different way. Dr. Parikh considers this case to be a more complicated story than the Philippines case in part because of the population characteristics of the Bangladesh context. For example:

- Population of Bangladesh about 123 million;
- It is one the world's most densely populated countries at 834 people/km²;
- Poor - \$387US per capita income in 2001;
- Very low literacy rate - 45% in 1997;
- Low life expectancy at birth (61 in 1998);
- 44% poverty rate (1999).

One element of the project was to provide support and technical assistance to the Bangladesh Bureau of Statistics. This support enabled the Bureau to expand their capabilities in poverty monitoring to go from annual surveys on a modest small sample in five statistical regions to a much larger representative sample, which covered 21 districts. The support also enabled them to get the results of the poverty estimates tabulated and made available within one year after the survey, as opposed to 3-4 years after as was the case before the project. The Bureau now has ownership of managing the survey.

Dr. Parikh reported that the availability and prompt publishing of poverty monitoring led to:

- An increased awareness of people's situations (one village chief was surprised by the level of poverty and illiteracy that was revealed by the survey);
- An increase in people's political power in a democratic set-up to make demands for money, action etc.;
- An increase in the knowledge/data of various actors (the data has been referred to by finance ministers during budgets, and it is used by the Planning Commission planners, the World Bank, the UNDP, and academics).

Focus studies were also done in this project to understand, for example, what kind of government expenditures lead to the best impact on poverty reduction. Dr. Parikh noted that it is difficult to find a direct causal relationship between the research and impact, although there have been increases in the social sector expenditures between 1991 and 2001.

Lastly, the project also involved modifying an elaborate and complex CGE model originally built by the Dutch and used by the Planning Commission with the help of the best consultants. The model had fallen out of use and one intention of the project was to simplify it and build local capacity to use it. The models were used to examine sectoral and distributional impact of macro policy.

Dr. Parikh summarized the impact of the modeling work as follows:

- The results were noticed and referred to in the Poverty Reduction Strategy Paper;
- Those who ran the models got transferred or were attracted away.

Also, in this project, a local level poverty monitoring system project, which was inspired by the CBMS of the Philippines, has been initiated in Bangladesh and this seems to be very promising.

In summary, Dr. Parikh reports that the MIMAP Bangladesh project has had the following influence:

- Built the capacity of researchers, some of whom have become policy makers, policy advisors (e.g., one had become chief consultant to the commission setting up the Poverty Reduction Strategy Paper), and members of the Planning Commission;
- Involved policy makers in seminars and other MIMAP activities;
- Created ownership with the Bangladesh Bureau of Statistics in managing the poverty survey.

There is not yet local ownership of the CGE modeling.

6.1.2 The Asian Fisheries Social Sciences Research Network Case Study Overview by Bob Pomeroy.

Bob Pomeroy teaches at the University of Connecticut but previously was very actively involved in the Asian Fisheries Social Sciences Research Network (AFSSRN).

The AFSSRN got started in 1982 and received IDRC funding from 1983-1996. Dr. Pomeroy noted that when he set out to do this case study it was fairly easy to get a hold of the members around the region as they are still working together. This continuity of interaction was identified as one of the long-term benefits of the network. He interviewed 19 members of the network and looked at their historic relationship to the network, their relationship with their position, how it changed over time, and how their activities influenced and continue to influence policy.

The Network, as a project, was not designed to have an influence on public policy until its last phase. The Network's overriding objective was to build national research capacity to address important social science issues in the development and management of fishery resources in the region. However, Dr. Pomeroy concludes that the networking, training and education, research support, and information dissemination activities did both directly and indirectly influence policy for fisheries and aquaculture in the region.

The context of the project can be summarized as follows:

- In the early '80s the issue of overexploitation of fisheries and environmental degradation of coastal resources was high on the agenda of governments in Asia.
- Most managers and policy makers were biologists, however, and there was a feeling that the real solutions to these problems were social, economic, institutional and political in nature.
- Policy makers were asking researchers to provide information on these issues to inform policy but the academics in the research institutions at the time were not interested in those issues and did not interact much with policy makers.

The AFSSRN was established to address the two constraints noted above, namely:

1. The serious shortage of social scientists working on these issues in the region; and
2. The weak institutional support for long-term fisheries social science research.

During the first two phases the focus was on capacity development and basic social science research; policy research was not a high priority although in the second phase they began to see some of the research get transferred into policy.

During the third phase there was an expansion of membership into other countries, the focus was on capture fisheries and aquaculture systems, and marketing and policy research began to take a high priority. Most importantly a link was established between the researchers and policy makers and management through meetings and training sessions for example, where academic researchers and government policy makers could sit together and get to know each other and exchange information. From this there was a continuous growing capacity to undertake policy research by the members.

By the fourth phase, the project expanded into another country, had another shift in focus, and most importantly policy research was a high priority. By this time there were a lot of well-trained social scientists with a high capacity to do policy research and link with policy makers, but with no understanding of how to take the applied research and transfer it into something the policy makers could use. So the project put together a series of workshops on transforming research into policy.

In discussing the policy influence/implications of the network project, Dr. Pomeroy presented some quotes of respondents from the Department of Fisheries in Thailand, the Ministry of Marine Affairs and Fisheries, Indonesia and from a research institute in the Philippines. Some examples of the types of policy influence that are reflected in the quotes are:

- Capacity building of economists in the fisheries sector (e.g., in Thailand);
- Providing information to policy makers (e.g., the Department of Fisheries in Thailand);
- More informed policy development (e.g., in the Department of Fisheries in Thailand; in the Ministry of Marine Affairs and Fisheries, Indonesia);
- Capacity building among researchers to do policy relevant research (e.g., Central Luzon State University, Philippines);
- Increased recognition of the value of fisheries economic research/analysis to policymaking among policy makers; and
- The recommendation from a CBNRM research project in Thailand served in part as the foundation for the development of a Department of Fisheries program and policies for community-based management and co-management which is being implemented today.

Upon discussing the case study together, Brian Davy, Fred Carden and Dr. Pomeroy identified a number of stages in the Network's development and links to its policy influence. These stages, not a linear set but a flow with some going in one direction and some another, are:

1. Limited capacity and skill base in the first instance;
2. Increasing research skills through training and education and small research grants program;
3. Gaining confidence;
4. Career development and advancement of network members;
5. Networking among members;

6. Publishing research;
7. Influencing policy; and
8. Providing advice to others (consulting).

6.1.3 Tobacco Control in Thailand Case Study Overview by Prof. Prakit Vateesatokit.

Dr. Vateesatokit described the Tobacco Control in Thailand case as an example of how a triangle of actors: research knowledge, policy makers and the social movement interacted to create policy change. Dr. Vateesatokit's role was that of the "prime mover" – someone who used the research of others to influence policy makers – and this case describes the strategies and outcomes of more than 15 years of advocacy work to get tobacco and smoking control policies successfully put in place in Thailand. It should be noted that the project itself was not an IDRC-supported project but the IDRC Secretariat *Research for International Tobacco Control (RITC)* supported the write-up of this case for a book it is co-editing about tobacco research and influencing public policy.

The project ran from 1974 to 2002. At the beginning of the project there was a high rate of smoking (i.e., 70% male; 5% female) and high smoking related morbidity and mortality in Thailand. There was no tobacco control policy at that time and the Thai government owned the Thailand Tobacco Monopoly.

The project itself did not do any biomedical research, although they did do some research on advocacy questions. Rather, the project formed a coordinating group on tobacco and used existing international and domestic data to successfully advocate and lobby for tobacco control in Thailand.

Dr. Vateesatokit described the outcomes of the project to be:

1. The passing of two comprehensive tobacco laws in 1992: one controlling tobacco products and the other banning smoking in all public places.
2. The establishment of the tax for health policy (1993-2001).
3. The passing of the Health Promotion Act funded by a 2% dedicated tax on tobacco and alcohol (2001). And,
4. A progressive decrease in smoking and cigarette consumption.

The project undertook a variety of strategies and involved different actors to create and seize windows of opportunity and to support their case, depending on the issue at hand. For example, sometimes the Thai Medical Association was effective working directly with policy makers, especially when there was specific data that supported certain ideas. On some issues, such as pushing for the ban on advertising, public pressure rather than research was the main influence.

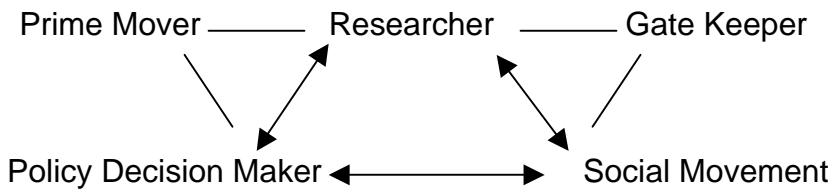
Some of the strategies and associated processes used to link research to policy influence in this case included:

1. Using existing international and domestic research data;
2. Referring to credible organizations such as WHO, World Bank, US Surgeon General, American Cancer Society, Canada's experience (e.g., World Bank and Asia Development Bank policy on tobacco control);
3. Consulting with international experts for advice (e.g., inviting WHO expert to calculate the effects of an increased tax for health policy in Thailand);
4. Researching questions specifically designed to influence decision making (e.g., in anticipation of the ban of smoking in public places they did a study of carbon monoxide from smoking in an air conditioned room; a study on prevalence of smoking among Thai police (who would be responsible for enforcing the law); and research on tobacco-related health expenditure);
5. Using political gamemanship to gain support from key officials and legislators;
6. Informing the public to get public support and then use public polls. (Dr. Vateesatokit explained that public support can legitimize political decisions and make politicians more accountable. For example when Cabinet granted the Thai Tobacco Monopoly the right to update their cigarette producing machine, the TMA and health groups told the public that this was not morally correct unless the government first established some tobacco control measures. The Cabinet reversed its decision. Another example of getting the public on board was publicizing the effect of tax increases in other countries to get public support);
7. Using the media (e.g., national statistics on smoking preferences were collected by the National Bureau of Statistics but nobody used the data. The team got Richard Peto to use the data to make a prediction of mortality for Thai children and they put that in the newspaper and communicated that to the Thai government).

Dr. Vateesatokit outlined a few key learning points from the tobacco case and these are summarized as follows:

1. Influencing policy takes time – for example it took about six years of active advocacy to achieve the passing of the health promotion bill based on a dedicated tax on cigarettes and alcohol.
2. If policy makers are receptive, they will be open to good research that supports your case for change (e.g., a new law) and this can be done directly with them. If they are not receptive, you have to use the social movement. If the public opinion poll does not support your case then you will have difficulty selling your case.
3. Regardless of the quality of the research, Dr. Vateesatokit feels that in order to maximize results, researchers need to work with prime movers or change agents.

4. The model to link research with policy used in the Tobacco case (shown below) is transferable and is actually being used now for a number of things in Thailand including an ongoing health care reform initiative.



Dr. Vateesatokit's model linking research to policy used in the Tobacco Control in Thailand Project includes:

- Using existing international and domestic research data;
- Referring to credible organizations such as WHO, World Bank, US Surgeon General, American Cancer Society;
- Researching questions specifically designed to influence policy makers; and
- Using public opinion polls.

6.1.4 “Local Strategies for Water Supply and Conservation Management” (phase I) and “Catalyzing Change: Local Supply and Conservation Responses to Water Management” (phase II) Case Study Overview by Kevin Kelpin.

Kevin Kelpin of the IDRC Evaluation Unit presented his case study, which looked at two of the five recipient NGOs involved in “Local Strategies for Water Supply and Conservation Management” (phase 1) and “Catalyzing Change: Local Supply and Conservation Responses to Water Management” (phase 2) which ran from May 1997 to August 2002. The recipient organizations studied are:

- The Nepal Water Conservation Foundation (NWCF); and
- The Vikram Sarabhai Centre for Development Interaction (VIKSAT), India.

The conceptual context within which the project began is summarized below:

- Water scarcity – there was a general dialogue about increasing problems throughout many parts of the world concerning the availability of an adequate supply of useable water.
- Supply versus demand – discussions surrounding how to deal with water scarcity (e.g., increase supply or better manage what is already available).
- Local versus large – discussion of the best approach to water supply and management (e.g., local and often participatory water management projects or a continual focus on large projects such as dams or inter-basin transfer projects).
- Groundwater management – an increasing dialogue on the importance of groundwater management (especially in India where much of the recent increase in irrigated land has relied on groundwater resources).
- Water planning approaches – discussion of different approaches such as an integrated approach which tries to comprehensively describe and manage systems through the manipulation of stops and flows versus an approach which sees water management as an issue of governance within a larger civil society context and which was the subject of research in this project. And,
- Increased need for research information on the viability of smaller scale, locally managed options for water management.

One of the objectives of the project was to come up with specific examples of different types of institutional answers to water scarcity problems applicable in different places. There are, however, some differences in the political and practical realities between the two countries involved, which are expected to influence their respective approaches to and perceptions of solutions. For example, some of the differences in the political and practical realities between Nepal and India are shown in the chart below.

Nepal	Issue	India
Sells electricity to India	Water and power	Buys electricity from Nepal
Strong	Donor influence	Weak
Weak	Political stability	Strong
Weak	Strength of civil society	Strong
Weak	Broad access to research	Weak
e.g., 'cement mentality'	Informal power structures	E.g., 'corruption' issues

Dr. Kelpin outlined what the project set out to do and this includes:

- To generate basic data on the four selected case study areas in India and Nepal (e.g., water use patterns, power relations between institutions and community groups);
- To generate research on water management options responding to water scarcity (e.g., look at locally managed surface and groundwater schemes, use WEAP modeling technology for future demand and supply management options);
- To inform dialogue amongst stakeholders as to their research findings and management options to help enable institutional change at the local level;
- To build capacity of local communities in both India and Nepal to evaluate opportunities for managing water as an alternative to large scale, centralized and supply-oriented options;
- To increase the capacity of recipient organizations involved in the study; and,
- To promote an active approach to facilitate the dissemination of research results to a diverse audience.

The project undertook a number of specific activities and strategies of particular relevance to policy influence. For example:

- The production of case studies reporting on local strategies for water management, which are believed to have contributed to an increased level of informed dialogue and provided options for both government and non-government actors.
- The use of the stakeholder forum by VIKSAT, which brought very different social actors face to face to have a discussion. This led to increased visibility, informed dialogue and interaction between different social actors.
- The use of a social auditor by the NWCF. In this process, a group or an individual (e.g., researcher, activist, media) is assisted in building their capacity to use opportunities to question decision-makers on established approaches and policies, provides new information (from their research for example), and attempts to identify alternative solutions (backed by data/information from research).

- Participatory collective process for project management – that is, rather than having an overarching steering committee, the five institutions involved in the project decided there would be a participatory collective process through which the project would be managed.
- Writing workshops – respondents from recipient organizations reported that these were very important as they learned how to put together and present their research findings in a way appropriate for the intended audience.
- WEAP analysis – VIKSAT was trained in the use of the WEAP analysis modeling system and they trained other organizations to use it as a tool for water management.

In order to get a sense of the policy influence of the project, Dr. Kelpin interviewed a number of people outside of the recipient institutions, including government officials. Dr. Kelpin outlined the following policy related outcomes of the project:

- The production and the dissemination of knowledge and information. For example, the editor of one of the main papers in Kathmandu reported that they often use the research put out by the NWCF to back up their editorials and stories. A book produced by the project after phase 1 entitled “Rethinking the Mosaic” has had a wide distribution and is now being used at Wageningen University in the Netherlands as a textbook in their development studies courses. Also, the “social auditor” cultural theory from the project has been incorporated into a revised version of Ajaya Dixit’s hydrology textbook, which is expected to be used to train all hydrologists coming out of Nepal.
- Increased interaction between stakeholders involved in water policy discussions. This process is still ongoing even though the IDRC project is complete.
- Improved access to research knowledge and findings for non-government stakeholders and civil society groups.
- The development and strengthening of networks and partnerships – this takes place at two levels; between partner recipient organizations as research institutions, and with other civil society groups working with them on water issues.
- Alternative perspectives and processes – e.g., research results from the project were provided to organizations involved in water management dialogue; NUA in Nepal which is involved in water supply and sanitation policy has taken on the social auditor process as part of the way in which it carries out its work.
- Capacity building support by recipient organizations to other local civil society organizations. For example, the NWCF is working with a relatively new irrigation users group to increase their capacity to join the dialogue about local water management options, as well as helping them disseminate their research to the local communities.

6.1.5 SRISTI Case Study Overview by Leanne Burton

Leanne Burton of IDRC presented two unrelated case studies. The first covers the case of SRISTI, an Indian NGO called the Society for Research and Initiatives for Sustainable Technologies and Institutions based in Ahmedabad in Gujarat state.

IDRC has been supporting SRISTI since 1992 and its support is currently in a third phase. Total internal funding to date has been about \$650,000 Cdn. Professor Anil Gupta of the Indian Institute of Management, and some of his colleagues initiated the project.

The initial objective of the first phase of the project was to stem the erosion of traditional knowledge in India and to document local, mostly technological, innovation. Over time the objectives of the project expanded to include all the elements in the value chain such as adding value to local innovation, providing incentives and incomes to innovators, protecting people's intellectual property rights, and developing approaches for ensuring that these activities are gender sensitive.

Ms. Burton outlined the conceptual context within which the project is situated and this is summarized below:

- Over the past 15 years intellectual property rights, patents, copyrights, and trademarks, have come to the forefront of global economic policy making. In the 1990s dozens of countries unilaterally strengthened their laws and regulations in this area. At a multilateral level the successful conclusion of the agreement of trade related aspects of intellectual property rights in the World Trade Organization has elevated the protection and enforcement of IPRs to the level of an international commitment and India, of course, has obligations in that regard to fulfill.
- The green revolution of the 1960s and 1970s has led to second generation challenges – food insecurities, decreasing diversity, the plateauing of productivity in certain crops, ecological imbalance, etc. The government of India is searching for solutions and implementing a variety of schemes aimed to improve agricultural productivity and distribution.
- The formal science sector in India continues to be isolated. They arguably have not updated their views over the years, not produced enough socially relevant research, not targeted their research to problem solving and have often denied the importance of the informal science sector.

This project was started and continues to follow a philosophy called the "Honeybee Philosophy", which is based on the notion of a honey bee, which moves from flower to flower pollinating each flower, collecting pollen, and disseminating that while doing no damage to the flowers that it travels amongst. SRISTI's approach to their work is to document and disseminate traditional knowledge in people's own language, attribute this knowledge to the originator,

and return part of any benefit to the person. For example, SRISTI has documented the veterinary practices of many farmers and a local centre conducted clinical trials after which SRISTI staff put together an herbal veterinary kit for farmers to use.

SRISTI has intentionally stayed small and has relied heavily on networks of students, teachers, field workers, and other NGO's and likeminded individuals to help it carry out its work. Communication has also played an integral role. Ms. Burton considers SRISTI an advocacy coalition in that it understands that policy influence takes time; it interacts with actors from policy sub-systems including all levels of the government, and it conceptualizes its program through value priorities.

Some of the activities and processes undertaken by the project are:

- SRISTI has tried to interface between formal and informal science over the years. The goal has been to foster mutual respect and understanding, but also, ideally, collaboration between the two groups in the particular areas of SRISTI's work, such as experimentation and value addition where the formal science sector would be particularly relevant and useful. While there have been some successes, Ms. Burton reports that this kind of collaboration remains a key challenge.
- SRISTI has completed about ten years of groundwork documenting traditional knowledge and more recently, validating and experimenting with people's innovations with the aim of potentially improving and marketing them. In a small number of cases, there will be an innovation that is capable of being marketed and scaled up at a broad level, so now they are talking as well about social innovation and non-material incentives for innovators. SRISTI has been proactive in lobbying and involving policy makers in its work. It will often invite state level government officials to its meetings. SRISTI works simultaneously at all levels of government - it has been able to identify issues requiring central government attention as well as those that are capable of being addressed at local levels and it has done both at the same time.
- And finally, in the words of professor Gupta, SRISTI's approach is proactive, persistent, patient and participatory.

Ms. Burton synthesized the policy related outcomes of the project down to the following four points:

- Policy impact has been at the level of ideas, broadening the existing knowledge base of policy makers at the state, national and international levels. At the international level for example, the Commonwealth Science Council based in London invited SRISTI to its ministerial gathering in June 2002 and it has since decided to establish a commonwealth innovation network and has drawn up a new agenda with grassroots innovation as a key component.

- In 1997 SRISTI held an international conference on creativity and innovation at the grassroots. During the conference, the then Chief secretary of the government of Gujarat agreed to provide \$10 million rupees to set up GIAN, the Gujarat Innovation Augmentation Network. GIAN builds on SRISTI's work, concentrating mainly on value addition and building on the databases of thousands of the local innovations that SRISTI has collected over the years.
- In 2000 the National Department of Science and Technology established the National Innovation Foundation as a formal platform for individual innovations. NIF works along the entire value chain. NIF takes the work of SRISTI and GIAN and scales it up to a national level. By creating NIF the government has encouraged and created space for SRISTI to continue pursuing its work. SRISTI's challenge now is to occupy that space and to make best use of the opportunity.
- And lastly, links are slowly starting to be made between the informal and formal science community. For example, for the last three years grassroots innovators have participated in the Indian Science Congress where they are rewarded on the same platform as formal scientists. SRISTI works with students and local schools, teaching students research methodologies and field research. Ms. Burton suggests that this work could have potential future policy impact.

6.1.6 Development of Nepal's IT Policy Case Study Overview by Leanne Burton

This project was funded through IDRC's Pan Asia's R&D Small Grants Program as a one-time grant of about \$60,000 CAD. The proposal itself was received from the Nepali Government's National Planning Commission. The objective of the project was to develop a national IT policy for Nepal through a participatory process.

Ms. Burton described the context within which the project was initiated as follows:

- The project was initiated in the late '90s during a global ICT investment boom era. Nepal saw, and still considers, ICT as important tools for socio-economic development. In particular, the government at the time stated that the primary objective of IT development is to provide universal access to this technology so that it can act as a medium of development of the national economy, facilitate the process of providing social services, and expedite the delivery of government services to people.
- In addition there was regional influence for ICT development. In 1998, the Prime Minister of India initiated an identical process of setting up a national IT policy for that country and China, Malaysia, and Singapore for example had also incorporated national information infrastructure initiatives to sustain or expand their economies.

- There was a new government and a new Ministry of Science and Technology in Nepal at the time, which shared the new government's vision of moving Nepal in the direction of becoming a knowledge-based society.

The goal of this project was to develop an IT policy for the country as part of the government's larger strategy to establish the country as knowledge-based society. Another objective in developing the policy was to attract foreign investment - to be taken seriously by the global investment community and to create a foundation for greater involvement in the global economy through e-commerce and the promotion of the private sector, among other things.

In this case there was a degree of policy transfer - the government of Nepal used India's IT policy as a reference guide and during the process they also hired an Indian policy design expert to vet its own IT draft.

The process itself was largely participatory. The process of developing the IT policy was tasked to the National Planning Commission in collaboration with the Ministry of Science and Technology. They invited representatives from the private sector, academia and civil society to be involved. Ms. Burton noted that several people pointed out to her that there were fewer representatives from civil society/ the NGO development community than from other groups, even though this group was tasked with writing one of the six strategy papers on universal access. That paper was critiqued as being the weakest of the six papers, and Ms. Burton reports that the resultant policy favours the private sector, in large part because they were more strongly represented in the process.

The strategy then was to write six background papers as a build up to developing a draft policy. These were written in a collaborative effort by six teams. Almost all the people involved in the process were Nepali professionals with the exception of one or two international policy experts such as the one from India. The strongest advocacy coalition was the private sector and this was most prominently represented by an organization called the Computer Association of Nepal, which is an association of IT professionals, ISP providers, and other private sector companies who were very knowledgeable about IT issues.

Ms. Burton outlined the project's policy related outcomes as follows:

- The new IT policy was developed and ratified in 2000. Policy implementation has been slow, however, for various reasons such as:
 - The policy was written during a more optimistic time – it is no longer an ICT boom era.
 - The policy contradicts other policies such as the national telecommunications policy. And,
 - Necessary prerequisites for implementation, such as adequate infrastructure, are still lacking.

- Progress was made on human resource development, although it too is not without problems. For example, the government has initiated a program to educate 50,000 students in various levels of IT and the first 10,000 students are now going through the program. There is some uncertainty however, whether they have the budget to train the other 40,000. There is also an issue concerning the quality of the training and the absorptive capacity of the market given the current state of IT in the country.
- Land for an IT park, a concept in the policy, has been purchased and a couple of buildings are under construction. So far there has been no visible impact on the private sector.
- The policy also outlines several implementing institutions tasked with implementing the policy. Those have been set up but they are currently under-staffed and under-funded due to the government's budget constraints.
- An IT bill has been drafted and is awaiting parliamentary approval. The purpose of the bill is to outline the action plans for implementing the policy.
- The government's (and to an extent the public's) understanding of IT issues has increased.
- There has been a "Broadening of policy horizon": new concepts and ideas were introduced such as e-governance and e-commerce. However, because the process did not include a balanced representation, there were more business people than development sector people. Arguably, the policy is not as comprehensive as it ought to be.
- The process also provided opportunities for networking and learning, not least of which was the opportunity for stakeholders to appreciate each other's constraints and interests. One result of this has been that the government has become more supportive of the private sector.
- And lastly, in terms of knowledge utilization, the policy incorporated many, but not all, of the issues and recommendations in the strategy papers. As Ms Burton puts it, the policy was clearly a negotiated document and had to reconcile the interests of different stakeholders participating in its development.

6.2 Highlighted Issues/Discussion Points re: Case Overviews³

Key discussion points included the following:

- In the context of the AFSSRN, the group discussed when it is reasonable to cut off funding and expect recipients of a network to take over the responsibility for the training of the next generation of researchers, for example.
- In the context of the tobacco project, good practices of the social movement included that:
 - It is very important to use the social movement when dealing with a public policy issue like smoking (e.g., use of the media is cheap and very effective)
 - Networking and coalition building - get press releases out frequently.
- Leanne Burton clarified that she did not believe that policy influence was the intent at the beginning of the SRISTI project, but rather over time that intent evolved.
- There was some discussion around the question of "*How wide and broad a position should we give the word "policy"?*" For example as one participant questioned, when policy about e-commerce is written for a country with 80 million people (e.g., Vietnam) but only 2% of the population has access to the Internet, does this represent policy development or rather goal setting? A policy document, in this participant's view, has to be implementable in a reasonable timeframe, not 20 years away in the future. "*My experience has been that when policy makers have a tendency to announce great things but when you ask them where the money is to do such a thing, they say God will provide – this is not a policy statement.*"
- Regarding the IT Policy Project in Nepal, one participant considered that it was enormously valuable to have the development sector participate in the policy writing as opposed to just a few bureaucrats because the government people were not IT experts. As well, fortune/good timing played a role in the Nepal IT case in that there was a former IDRC employee in Nepal at a key research institution that alerted the Nepalese to the fact that IDRC had a history and interest in ICT and hence would be a potential source of funding for a project in that area.

³ Many of the comments made during this discussion were not captured on the transcript due to technical difficulties while taping.

7.0 Typology of Policy Influence

7.1 “IDRC Projects and Policy Influence: Some Perspectives to Consider” by Evert Lindquist

Dr. Lindquist opened by complimenting those who carried out the case studies for their ability to go to such depths in their analysis, especially given the tight time frame to complete the studies. He also pointed out that in looking at knowledge utilization and the policy making process, it is rare to get two or three good cases never mind the 20 or so which have been brought to this strategic evaluation. With all this input, teasing out the issues becomes an enormously complex undertaking.

Dr. Lindquist explained that the purpose of his presentation was to review some of the different ways that academics have sought to conceptualize the impact of research on policy-making and then put some questions out for discussion regarding the case reports and issues raised thus far to help situate this work in a context that is useful for IDRC. Dr. Lindquist fully expects that the information and findings from the cases and the surrounding thinking about the nature of policy research in the development context will result in changes to the frameworks developed to date.

Dr. Lindquist began with some cautionary observations about this subject area. For example, it is very difficult to demonstrate the impact of any kind of program, government or private sector activity on the policy making process. Indeed, studies rarely have a direct impact on the policy making process, and as such we need to have our expectations at the right level. The reason it is so difficult to demonstrate impact is because there are so many forces and influences that are outside the control of those who commission policy relevant research that need, nonetheless, to be taken into account. The models which academics have sought to conceptualize the impact of research on policy-making have been based on western, European or North American scholars' perspectives. In Lindquist's view, the southern context presents its own complexities.

Policy systems are moving through time - there is a lot of inertia in policy making. One question Dr. Lindquist suggests one considers when doing this kind of analysis is whether or not we really expect to change a policy regime with the work we do or are we trying to work on the margins or fit within certain channels of decision-making that already exist. Several analytic frameworks might inform how such a study is approached.

The knowledge utilization literature, for example, is a relatively new literature in political science, which looks at policy networks and policy communities. This literature began 40-50 years ago when there was a lot of excitement and confidence about what social science could bring to the policy making process. But in the late 60s there was concern that although the policy makers had

listened to the academic advisors that had come into government, this didn't lead to much. The knowledge utilization literature looked at these "two worlds" to see whether they were really talking to one another very well.

This framework sees the two worlds as two distinct communities: the decision-makers who are looking for anything that will help them make good decisions and the academic world where people tend to work according to their disciplinary norms, without much interest in impacting the policy making process. The "engineering model of information use" believes that the produced information would fit into the decision that needed to be made. But some, like Carol Weiss stepped back and said this is not the way people use research and information. Instead, she suggested, they think about it, talk about it, and if it does have an impact it may take place at a different point at different place – i.e., it is an indirect process. Weiss called this model "the enlightenment function of research".

Lindquist's and others' work suggests that there is a whole host of other players inside government and in para-public organizations or in the private sector that are involved in policy debates all the time. This group of actors can be referred to as the "third community" and "network of policy actors". Those in this group do analysis and research, but they don't make decisions. All this to suggest that there are multiple actors and multiple ways of influencing all the actors in the field.

Another set of literature, started by Canadian Paul Cross, describes interaction among policy communities and policy networks. This literature moved the thinking from the previous "triangle theory of decision making" to include many more groups who influence policy making and includes other levels of government, international organizations and lots of special interest groups intersecting with one another over time. One key aspect of this framework is the concept of "sub-government" - that is clusters of actors (organizations, state agencies, and key interest groups) working at any one time in certain sectors and that are heavily involved in designing the public policy. These actors involved in shaping the policy regime have a vested interest in the outcome, and hence are expected to be conservative (i.e., not inclined to make change unless there is some externally brought on good reason). Conversely, the "attentive public" is free to think about problems in new ways and to challenge the existing system, and in this way can influence the policy process.

Network research emerged to try to compare and understand why policy-making dynamics are different in different policy sectors. There are a number of different constellations of power and interests that have different relationships and dynamics when in different sectors, and maybe even when in different countries or continents, or in the developing and developed world. To further complicate analysis, these constellations of power and interests are evolving and changing over time.

Another framework, developed by Paul Sabatier, looks at the policy process from the perspective of values, rather than structures and capacities. It is called the “Advocacy Coalition Framework”. Rather than look at the circle of actors, Sabatier determined that if you looked at any policy sector over a period of time (10-20 years) you can usually identify some dominant patterns of thinking and debate about what policy regimes ought to be. Key to this framework is that it sets policy analysis and policy research as being produced in an arena of conflict, where policy research is often commissioned by one advocacy coalition as part of an escalation strategy. If, however, there is too much conflict no one listens to each other, which does not create a good environment for policy deliberation. In those circumstances, Sabatier would argue, it is the role of the research and policy experts to serve as a moderating influence in ideological debates. This can lead to the creation of new forums/ networks of actors to actually begin different kinds of dialogue, a situation that Lindquist has seen reflected in some of the cases. Finally, Sabatier would argue that beliefs are stable and that unless there is something that really upsets the policy community (such as big changes in the economy, changes in Ministers, and perhaps donors imposed ideas), policy development has been a relatively incremental and stable process.

Lindquist then discussed a framework that combines the two approaches to show the structural approach that considers the capacity of institutions or communities, along with contending beliefs. In this framework the objective is to try to identify individuals, institutions, and interests that have similar beliefs. In terms of IDRC's work, Dr. Lindquist suggested that it is useful to consider whether the IDRC-supported project was trying to:

- Align themselves with one coalition; or
- Trying to help move along an emerging advocacy coalition; or
- Trying to foster better debates and more professionalism among experts that serve all groups.

On modes of inquiry, Lindquist contends that Canadian think tanks (called policy research institutes) don't do much policy research. They tend to be more involved in policy analysis of research done by others. It is important then, he suggests, to distinguish between research, analysis, and data production, because these will have different expectations on the potential to influence policy. Briefly addressing decision regimes, Lindquist made the point that in most policy sectors most decision-making is either routine or incremental and its rare when fundamental decisions get opened up for scrutiny. However, what is interesting in the developing world context is that you can find emerging regimes, where in certain sectors there is not much capacity or progress, which is a similar situation to opening up fundamental decision regimes but it is really building things from scratch.

On agenda setting and public policy making, Dr. Lindquist pointed out that the idea behind the engineering model of decision-making is that there are

researchers and analysts who are producing solutions which are somehow getting into the policy making process. The approach here is that there are three streams moving into the agenda setting process:

- One stream consists of the many problems trying to make their way to policy makers - some make it, some don't;
- The second stream consists of the many ideas and conventional wisdom for solutions - some get to the top of the agenda, some don't; and
- The third stream contains the policy entrepreneurs, the people who are trying to make a difference - some seem to be in the right place at the right time, others not.

The theory says that no one of these things on their own will get something on the agenda, but rather there has to be a confluence of events: first a policy window has to open up and all the other things need to line up and that is usually not something that can be planned for. There is happenstance involved. The question then becomes: How can you increase the likely-hood of things lining up? This has to do with good communication strategies, and educating people, and being able to identify the brief windows of opportunity. Some of these windows are random, but some are predictable. International networks and international organizations and regimes also play a role in opening up policy windows, as has been illustrated in some of the case studies, as can policy entrepreneurs who can sometimes actually create the windows that open and ready their institutions to take advantage of those moments when they occur.

So there are multiple channels of influence and Dr. Lindquist moved on to describe the broad range of types of influence that can occur and related many of these to case experiences. His proposed typology of policy influence is summarized as follows:

Types of Policy Influence:

Expanding Policy Capacities

- Improving the knowledge/data of certain actors;
- Supporting recipients to develop innovative ideas;
- Improving capabilities to communicate ideas; and
- Developing new talent for research and analysis.

Broadening Policy Horizons

- Providing opportunities for networking/learning within the jurisdiction or with colleagues elsewhere;
- Introducing new concepts to frame debates, putting ideas on the agenda or stimulating debate;
- Educating researchers and others to take up new positions with broader understanding of issues; and
- Stimulating quiet dialogue amongst decision-makers.

Affecting Policy Regimes

- The modification of existing programmes or policies; and
- Fundamental redesign of programmes or policies.

Dr. Lindquist pointed out that sometimes it is necessary to have multiple, parallel strategies to have influence but, as was pointed out during the case overview presentations, one has to consider whether it is necessary to decouple the roles and responsibilities of those who generate new ideas from those who market them.

Finally, Dr. Lindquist posed some questions and issues for the group to consider in their thinking and analysis of how research can influence policy such as:

- The distinction between outputs and outcomes and how these relate to each other and to the short-term and long-term aspects of policy influence. And, to think about the time frame associated with the different types of influences and whether the short-term influences lead to better policy-making and more informed decisions in the long-term?
- How policy efforts and the policy community change over time and can lead to shifts in power dynamics and receptivity to new ideas.
- More explicit accounting of the purpose and evolution of policy networks and fora and the implied challenges.
- Emphasize more fully the crucial role of leadership and policy entrepreneurship over time and the assumptions that the projects make in terms of how responsibilities would play out.
- Explore the relationship between social science research, applied policy research, production of data and policy advice and how these activities fit onto the policy continuum and the role of supportive parallel activities and also the implications for managing the bundle of different activities.
- And finally, what is the role the role of IDRC in identifying and choosing which projects to support and the kind of support that was provided by IDRC staff over time. This may shed some light on the kind of capacities IDRC has to build in the future.



7.2 Group Work on Typology of Influence

The second day began with 4 groups reporting back in plenary on their discussions of the specific types of policy influence from the cases and on the framework presented by Dr. Lindquist the previous day. A summary of each group's report-back follows.

CBNRM Group Report-Back: Types of Influence

This group reported that they first discussed the cases presented the previous day and then looked at the framework from their own perspectives based on their own experiences. The group made the following observations:

- “Broadening Policy Horizons” was where AFSSRN had a lot of opportunity for making a difference. There were some discussions as to whether or not this was an evolution throughout the project.
- Some participants felt that they needed more time to digest and look at the criteria that were given under each type of influence in Lindquist’s framework to see how they might relate to the projects.
- There were a lot of projects in CBNRM where policy influence isn’t necessarily planned at the outset, but which comes through in the projects, particularly supporting capacity development.

- Some participants identified a number of issues that they felt had not been raised within the framework and wanted to consider thinking outside of the box. For example:
 - The group looked at opportunities for how partner meetings are developed, and how to target other interventions, development options and alternatives.
 - In terms of the scope – “areas of government” is absent.
 - In terms of opportunities where policy influence may happen, there was a discussion about the importance of organizational capacity building. They were also seeing an evolution of how CBNRM has evolved over the last 20 years in terms of research – there has been increasing emphasis on management by government at different levels, and the projects that are supported reflect that. The group also saw that policy influence was being addressed by the projects more as CBNRM policy becomes more of a specific issue.
- The group also discussed good practices and how there are opportunities to get CBNRM to do things on the ground and specifically even around policy and institutional frameworks.
- In terms of whether CBNRM needs to have one or two criteria that are most important to their bundle of activities, the group felt that once doing good CBNRM research, one is really tapping into all of these criteria but it's really a bundle that one needs to consider when you are building capacity, actors introducing new concepts, education with a long term view, etc.
- The group also noted that Lindquist's framework ends at looking at policy development, but not the “*what after*” – i.e., Caroline Pestieau's “implementation gap”. This raised the questions: How do we look at those issues? How do we look at monitoring?
- The group noted that “*There's more to life than public policy*” and a lot of change may be happening outside of the public policy regime and thus we have to remind ourselves that we have to look outside of that linear arrangement to where there are other opportunities for change.
- And lastly, they noted that new policies are not necessarily good policies, which has implications for monitoring: What are the impacts of the policies that are developed? How can they have negative effects as well?

Comments from plenary included that there may be too much emphasis on public policy. For example, in the case of CBNRM, there may be ways other than changing management policy to improve livelihoods such as co-management options, although it is not clear if it would be necessary to change public policy in order to get co-management, for example, accepted as an option. Also, the view was expressed that policy is not the end, but rather development is the end, and as such the work that is done may result in policy change but it may also have other contributions to development.

IT Policy in Nepal Group Report-Back: Types of Influence

This group concluded that the IT Policy in Nepal project helped in “Expanding Policy Capacity” especially in “improving the knowledge of certain actors”.

During the process of developing the policy the recipients talked to the different stakeholders and they are pursuing it by having the involvement of different government ministries. Business and the private sector had some positive role on that policy.

Tobacco Control Group Report-Back: Types of Influence

- After comparing the specific aspects of the tobacco control case to other cases like the AFSSRN for example, the group concluded that they are different and therefore should be considered separately. There may be cases however that fall into the same category as the tobacco case, in which case it might be possible to apply the same general strategy.
- The unique aspect of the tobacco control case is that there already was a recognized field of research (e.g., the economics of the health burden of smoking), and also that it is socially accepted that smoking is bad and society is losing something if it does nothing to control it. This differs from the fisheries case for example, where if you don't first do the research, society has no idea what it is loosing.
- The group discussed the general strategy of the tobacco campaign where the advocacy team identified and targeted the “enemy” very clearly. The enemy is the tobacco monopoly in Thailand and the other actors are accepted as partners, whether they are corrupt politicians or not. Therefore, identifying the “*target enemy*” is very important to help move the whole effort in a very focused direction.
- The advocacy team used partnerships and synergy in the work and used a wide range of activities in order to promote concern among the public and in the government officials themselves.
- One very important strategy was that the advocacy team proposed multiple options, not single solutions. Research should be able to supply at least two options.
- In terms of policy influence, the group suggested that if a project aims high (i.e., as this one did to affect the smoking policy regimes in Thailand) and you are successful, then you will necessarily also have influence on the “Broadening Policy Horizons” and “Expanding Policy Capacities”. On the other hand, if you aim low, for example strengthening and expanding only policy capacity you may not go “up” to “Changing Policy Regimes”.
- And lastly, in terms of identifying facilitating factors and strategies, the group pointed out that this case exemplifies an activity that could be called “*demand pool research*”, which goes beyond the concept of user-oriented research which we are more familiar with. Demand pool research involves identifying where the demand is and who is going to express those demands, and in this case it is the need for a team of professionals to plan

moves, plan strategies, set the agenda, identify partners to join in at certain points in time, watch for a policy window of opportunity, decide when and how, etc.

MIMAP Group Report-Back: Types of Influence

- The group decided that MIMAP did not set out explicitly to influence policy in the ways outlined but that in the end it did influence policy in those ways.
- Some members of the group thought that from the point of view of MIMAP and IDRC, the first years were aimed at capacity building and then as the program became more mature in different countries, it became a little more aimed at “Broadening horizons” and “Affecting policy regimes”. Not all saw it that way, as it was pointed out that in Bangladesh the poverty-monitoring component of MIMAP started with capacity building because they were working with the Bureau of Statistics in order to develop the capacity to do surveys, and only after some survey work was done was it possible to use the results. On the modeling side however, the team started right in to do the modeling and produce results and to use the results to convince the government Planning Commission to take on that capacity.
- There seemed to be a fair variety and not any really obvious patterns in MIMAP for modeling and monitoring components. Certainly some of the modeling in other countries like Vietnam was aimed quite directly at early results, for example tax reforms.
- The group discussed the importance of flexibility in the implementation of projects – i.e., even though you may plan to have certain kinds of impacts, it doesn't always work out that way. The partners on the ground tend to know that and so value the flexibility that they have in adjusting the implementation of the program according to what they think is going to have the most effect.
- In discussing tradeoffs the group concluded that there were not so much tradeoffs but rather different components of projects, which have different aims at different times.
- The group discussed bundles and were not convinced that there was a need for bundling efforts, but that there might be a progression. For example, in some cases you progress from one kind of activity to another on “Capacity building” to “Broadening horizons” to “Impacting policy regimes”, but on the other hand there also seems to be a fair amount of jumping around. The group suggested that bundles might be more prevalent in networks.
- Some in the group emphasized the importance of country narratives.
- The group discussed the importance of influencing policy through both international and public intermediaries. An example of this was the debate between the MIMAP people and the government people in Bangladesh about whether poverty has gone up or down in Bangladesh in the 1990's. The group believes that the conclusion of that debate, which ended up agreeing with MIMAP's work, was because the MIMAP work was more credible.

- The group touched on the question of how important and possible is it to try to map out policy impacts in advance. There was a sense that it is important but you're not going to get it all right.
- And lastly, the group noted that there tends to be an assumption that MIMAP is about macro policy - that we want to know the impacts of macro policy so that we can help change macro policy. There is some truth to that and it depends on how you define policy. But there is also a great limitation in how possible and easy it is to change macro policies – for example it is probably not very easy to change trade policy to deal with poverty issues. In such cases the emphasis goes on other policies or programs or innovations that deal with some of the negative impacts of trade policy on poverty. Thus, MIMAP is aimed as much at sectoral and local level programs, particularly budgets, social services and local budget initiatives, as it is at macro policy.

8.0 Forces and Factors in the Research to Policy Process

In this session Ronnie Vernooy of IDRC invited participants to engage in a participatory exercise to explore some of the processes exemplified in the case studies from a sociological perspective. His introduction and the outputs from the group exercise are summarized below.

8.1 “Linking People to Policy Making: Introduction to a Sociological Analysis” by Ronnie Vernooy

In introducing a small group exercise, Dr. Vernooy noted that the exercise is really an experiment to test his hypothesis that concepts from sociology could be useful in deepening our understanding of the processes that link people to policy making. Dr. Vernooy suggested that if the participants conclude that such an analysis can be useful, then he believes that it could make a contribution on two fronts: firstly, it can help to better understand and then to pro-actively design projects and activities that promote factors which facilitate desired policy influence and minimize those which hinder influence. Secondly, this testing of sociological notions with field data can be used to inform sociological theory.

Dr. Vernooy called this session “Linking People to Policy Making” in part at least, because it encompasses a number of notions that he wanted to bring forward for consideration during group discussions. Some of these ideas are:

- Public policy is not the end – we are interested in people and improving their livelihoods.
- While we often talk about influencing policy, we need to recognize and reflect on the implications of the fact that policies are out there, and that they influence what research does and can do (e.g., in many countries where IDRC supports projects, proposals have to be approved by the Ministry of Science and Technology – i.e., they have to fit somehow with existing policies and ideas).
- Sociology reminds us that different people do things differently and this raises a number of questions when looking at the process of policy development. For example, are different voices heard and taken account of in policy formulation and why or why not? Whose policies are we talking about and for whom are they meant? Are the problems and opportunities defined in terms of different people? Are the expected outcomes of policies defined in different ways for different groups in society? And,
- Elements of politics and ethics figure somehow into the policy-making process which raises the questions: For what and/or for who does IDRC stand and what is IDRC’s role?



The Exercise

The purpose of the exercise is to try to determine whether researchers and case consultants can make use of two sociological theories about how societal processes work, in their references to the policy making process in their respective cases. The objective of the exercise is to see if in fact these theories can make sense of reality (i.e., the case study data) and thereby be helpful in describing what we mean by influencing the policy process so that we can be more realistic and critical about how projects are designed and implemented, for example.

The two sociological theories used in the exercise are:

- The functionalist-structuralist theory, which says that there is a structure out there and things get done because they are organized in a certain way; and
- The social actor oriented or constructionist theory, which incorporates the idea of the human agency and the notion that if people have a will, they can change things.

Participants were asked to consider some quotes by both researchers' and case analysts' taken from the case reports and which relate to some aspect of the policy making process in each case. Participants were asked to classify these quotes using a draft analytical framework that Dr. Vernooy put together. The framework identifies some forces and factors taken from the literature (with a few

modifications) and classifies them under one of the two sociological theories. Participants were also asked to make some general observations about the framework and to think about how any insights gained from this exercise might inform their research practice. The outputs from the small group exercise follow.

8.2 Output of the Group Exercise on Forces and Factors

The MIMAP Philippines group reported that:

- They looked at quotes from the two MIMAP cases and the EEPSEA case and reported that they had little difficulty agreeing on the understanding of the basis of the researchers' and consultants' comments and placing them in the framework.⁴
- They did feel that the framework was too targeted around constraints and disincentives. The group suggested that it be redrawn in terms of positive elements and provided some suggestions.
- They noted that since the consultant who did the EEPSEA case happens to also be the research director (i.e., David Glover), the group felt comfortable putting Dr. Glover's comments under both the "Researchers' View" and the "Consultants' View" headings.

The MIMAP Bangladesh group reported that:

- The framework might be a bit restrictive, and most of it was negative.
- This group also suggested a few positive options based on the quotes.
- Most of the quotes from this case fit under the functionalist-structuralist category and the group thought that this could be because of the nature of the research done.
- The group added the following factors to the framework:
 - A supply-side constraint: "Timely supply of input";
 - A demand-side factor: "The demand for the research output was created";
 - A demand-side factor: "Policy makers exposed to research outputs but there may have been inadequate internalization of research results".

The ICT group report that:

- They didn't have quotes to place in the framework.
- Instead, they went through the factors and decided which applied to the ICT case and which did not.
- About half of the factors applied, and included both negative (e.g., "Inadequate supply of research"), and positive factors (e.g., "New policy makers being very interested in research output").

⁴ The output of this session showing the classification of quotes in the framework is shown in Tables 1 & 2 below.

- The group found that there really was no difference in opinion between researchers' views and consultants' views.
- They added the following factor to the framework:
 - On the demand-side: "Inadequate attention was given to implementation".
- In reflecting about how these insights might inform their research practice, the group felt that in thinking about policy influence in one sector of government, it is important to consider how it may impact policies in other sectors and to make sure that there is adequate communications between the groups involved (e.g., the IT policy in Nepal had implications for the telecommunications policy which falls under a different ministry and some of those implications were not taken into consideration during the process).

The CBNRM group reported that:

- They found about an equal distribution of quotes between the functionalist approach and the social actors approach.
- The framework would have been easier to use if it was framed in a positive way.
- A single viewpoint can apply to both theories at once.

Comments from a plenary discussion that followed included:

- Sometimes the researchers' and the consultants' view on the same point differ. How do you resolve this? Whose model is correct?
- It seems that more of the CBNRM comments were placed under the social actor oriented theories, which may be because of the nature of the research.
- Most of the time reality is probably more complex than the simplistic notions these models imply.
- The language of the quotes that ended up on the functionalist side was descriptive in nature while the language of those quotes that ended up on the social actor side was about process - How much does language affect the outcome of such an exercise?
- The framework does not go into policy implementation - in the end you don't learn whether anybody's life was improved.
- There is a body of work that does look at what happens in the implementation process and it looks at factors such as: things getting reversed, reinterpreted, reshuffled, and shut down for example.

Table1: Group Exercise Output on Factors and Forces Influencing Policy – A Sociological Analysis: Functionalist-Structuralist Theories.

Functionalist-Structuralist Theories⁵	Researchers' Views	Consultants' Views
SUPPLY-SIDE FACTORS/FORCES		
Inadequate supply of relevant research.	<p>Financial stability of organization - allows focus on research, whether directly on IDRC funded project or other. (Water).</p> <p>The effectiveness of community-based monitoring comes from our felt need to assess human development at local levels. (MIMAP Phil.)</p> <p>In the last 10 years, the fisheries economics division has become more important in the Thai Department of Fisheries, in part due to the impact on staff of training and capacity building" (AFSSRN).</p>	<p>Producing clear evidence of the incidence of impacts: who wins and who loses under feasible policy options. (EEPSEA).</p> <p>First, to produce materials that help others to understand the nature and causes of environmental problems. Only then can one presume to affect environmental problems. (EEPSEA).</p> <p>Critical mass of research from organization – limited knowledge of specific projects but aware of body of work. (Water)</p> <p>It is easier to build capacity than to use and maintain capacity. (EEPSEA).</p> <p>Capacity building is the most important channel of policy impact. (MIMAP Bang).</p> <p>There is an increasing understanding in the country that without proper management the natural resources are under threat of over-use and exploitation. (Cambodia-community forestry).</p>
Inequitable access to results/untimely access.		
Timely supply of inputs.		<p>Timely information focuses policy debates. (MIMAP Bang).</p>
Researchers have poor understanding of how policy-making works.	<p>Basic social science capacity building is a necessary precursor to conducting policy analysis. (AFSSRN).</p>	<p>Basic social science capacity building is a necessary precursor to conducting policy analysis. (AFSSRN).</p> <p>Curriculum development is crucial. (EEPSEA).</p> <p>Patience and persistence are essential. (EEPSEA).</p>

⁵ E.g., instrumentalism, technocracy; mechanistic, linear functioning of society

Table1: Group Exercise Output on Factors and Forces Influencing Policy – A Sociological Analysis: Functionalist-Structuralist Theories.

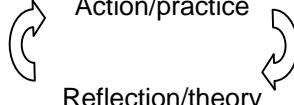
Functionalist-Structuralist Theories⁵	Researchers' Views	Consultants' Views
Researchers are ineffective communicators.	<p>It is important to learn how to prepare reports that policy-makers read and use. That is different from research. (AFSRNN).</p>	<p>EEPSEA must capture through case studies “stories” of policy influence and disseminate them widely. (EEPSEA).</p> <p>Engaging journalists concerning publicity. (EEPSEA).</p> <p>It is only by effectively communicating findings to the appropriate audiences that one can hope to influence policy-making. (MIMAP Phil.)</p>
DEMAND-SIDE FACTORS/FORCES:		
Policy-makers are ignorant about research results.		
Policy makers are aware of problems/ have identified problems.	<p>In the early 1990's the economy was facing agricultural stagnation. Policy-makers wanted to know “Why?” “What can be done?” (MIMAP Bang).</p> <p>In the early 1980's and throughout the AFSSRN life, the issue of over-exploitation of fisheries and environmental degradation of coastal resources was a concern of governments in the region. (AFSSRN).</p>	
Policy-makers are interested in research outputs.	<p>Now being in government, I better understand the need for good research to inform decision-making. (AFSRRN).</p> <p>The example of the community management initiative has been well accepted by the provincial government as a model for other efforts. (Cambodia, Ratanakiri).</p> <p>Most government agencies were now (1995-1996) supportive and had a better understanding of how</p>	

Table1: Group Exercise Output on Factors and Forces Influencing Policy – A Sociological Analysis: Functionalist-Structuralist Theories.

Functionalist-Structuralist Theories⁵	Researchers' Views	Consultants' Views
	to use outputs generated by policy analysis. (AFSSRN).	
Policy-makers are unable to use results due to immediate needs (cannot wait; staff turn-over).	NEDA staff turnover has not facilitated the use of models. (MIMAP Phil). At the end of the day we have not been successful to have a critical mass in the planning commission. (MIMAP Bang).	Timely information focuses policy debates. (MIMAP Bang).
Policy-makers "abuse" results for political gain.		
Policy-makers are caught up in power struggles and institutional contradictions.		Political stability and who influences policy dictates methods used. VIKSAT had to use less confrontation processes due to established hierachial government bureaucracy and power attached to political positions. (WATER).
Policy makers exposed to research output but there may have been inadequate internalization of research results.	Findings were discussed at seminars where ministers, high level government officials and academic researchers were present. Officials and policy-makers may have drawn some policy lessons. (MIMAP Bang).	
Policy-makers are ineffective communicators		
Demand for research was created.	There was no culture of informed research on policy, nor to consult researchers. It was ad hoc. We had to create our own niche. We had to convince policy-makers that they need research. (MIMAP Bang).	

Table 2: Group Exercise Output on Factors and Forces Influencing Policy – A Sociological Analysis: Social Actor Oriented Theories.

Social Actor Oriented Theories⁶	Researchers' Views	Consultants' Views
<p>Researchers and policy-makers are sociologically disconnected from each other and both from wider society; only personal links can make things (policy making) work</p>	<p>Findings were discussed at seminars where ministers, high level government officials and academic researchers were present. Officials and policy-makers may have drawn some policy lessons. (MIMAP Bang).</p> <p>Influencing policy is a personal thing. (MIMAP Phil).</p> <p>There was little interaction between policy-makers and researchers, especially social scientists. (AFSSRN)</p> <p>In Indonesia the network links academic and research center social scientists with government fishery managers to assist in research and policy. (AFSSRN)</p> <p>Since its inception, MIMAP has involved senior policy-makers in its advisory council. (MIMAP Phil).</p> <p>Networking is crucial for researchers and policy-makers to meet and know each other. This is how policy is influenced in the Philippines – through these long-term relationships. (AFSSRN).</p> <p>Only official interactions would not have been able to influence policy-making. Personal relations play an important role. (Cambodia, Ratanakiri).</p> <p>Personal characteristics: charismatic leader; personal reputation; movement into a position of increased influence. (Water).</p> <p>Relations between recipient organizations and potential policy decision makers (stakeholder meetings improved this in case of VIKSAT). (Water).</p>	<p>Results were presented and discussed with the planning minister in chair. It is reasonable to expect some impact on policy. (MIMAP Bang).</p> <p>A unique historical struggle in the rich context of Thai politics and culture; and grounded in the rational, iterative world of medical investigation and the sometimes chaotic political process. (Tobacco).</p> <p>Relations between recipient organizations and potential policy decision makers (stakeholder meetings improved this in case of VIKSAT). (Water).</p>

⁶ E.g., symbolic interactionism, structuration theory, game-theories, constructivism, post-structuralism.

Table 2: Group Exercise Output on Factors and Forces Influencing Policy – A Sociological Analysis: Social Actor Oriented Theories.

Social Actor Oriented Theories⁶	Researchers' Views	Consultants' Views
The research is/should be about having wider societal influence (=social change).	<p>The process was very participatory and low cost. (MIMAP Phil).</p> <p>Dissemination strategies; target audiences – use of various media outlets; text; written; workshops; training for other civil society organizations. (Water).</p> <p>The project has been liaising with other NGOs and IOs within and outside the province and together we have been able to raise a common voice. (Cambodia, Ratanakiri).</p>	<p>Developing a training program and building a group of teachers contributed to the ability of the social sciences to exercise an effective voice. (AFSSRN).</p> <p>Research should be shared with relevant communities and agencies. This would broaden ownership. (EEPSEA).</p>
There exists a multitude of ways of knowing; what research is, is not always set in stone.	Policies are also crafted at the local level by people who are not too technically trained. (MIMAP Phil).	<p>There are many potential pathways through which research affects policy, but proof is not possible. (MIMAP Phil).</p> <p>In addition to pressures exercised by the project, pressure from the donor community on the royal government of Cambodia has also played a role. (Cambodia, Ratanakiri).</p>

Sources: Giddens 1979, Lindquist 2001, Neilson 2001, Stone 2001, Stone 2002, "Influence of Research on Public Policy" Case Study Reports, Participants at the "Influence of Research on Public Policy Workshop", Bangkok, January 13 & 14, 2003.

9.0 Elements of Performance in Policy Influence

9.1 “What Does Performance in These Cases Tell us About Policy Influence” by Fred Carden

Fred Carden gave an overview of the learning to date about how research influences policy gained from the performance of the cases to date. A summary of his overview follows:

- Good performance around policy influence needs some planning. This came out strongly in the tobacco control case, but also in the fisheries case for example. Policy influence doesn't just happen – it has to be planned for, thought about, and strategies have to be developed to communicate between researchers and policy makers.
- Three elements that have emerged from the cases as important to our thinking about performance are:
 - Context: performance is highly dependent on the context (e.g., political, economic, social) in which you are operating.
 - Motivation plays an important role. There is evidence from the studies to suggest that even when those involved have good skills, without the motivation to develop relationships with key decision makers, to understand the processes involved, etc. things won't happen. So as an element of performance, we need to think about what motivates people.
 - Capacities are critical.
- Performance elements related to the context of the project include:
 - Seizing the moment / taking (or creating) the windows of opportunities that arise. (E.g., the IT program in Nepal was an example of where there was a need, an expectation and the environment to create policy. The tobacco case sighted a number of examples of seizing the moment as did MIMAP Philippines in taking advantage of the needs of the provincial government in Palawan.)
 - The issue of linkages (e.g., the fisheries project where there was an effort to build a linkage of economics into the fisheries field).
- Performance elements related to the IDRC context include:
 - Profile of the donor and the credibility given to project findings simply because of the involvement of a donor, which came up in the SRISTI case for example. In some of the Latin American cases this relates to the importance that is placed on what external agencies say and do on policy process and how the policies get defined and changed, and is not always viewed as a positive element.

- The issue of persistence – this is not always key but for example in the case of AFSSRN it took four phases to go from capacity building to policy influence, MIMAP is similar. Whether this would have occurred without long-term IDRC support is uncertain.
- Performance elements related to motivation include:
 - The receptivity of decision-makers. In some cases this was a demand for research (e.g., IT case in Nepal; MIMAP Philippines), in others there were elements of advocacy which created a demand /conditions to make decision-makers receptive/have a demand (e.g., SRISTI; NWCF; VIKSAT).
 - The commitment of researchers. A strong sense of value of research and willingness and ability to put in the time (e.g., the fisheries case over the long term and the Nepal IT case over the short term) to create change.
 - The motivation of funders of research (e.g., IDRC) to build local capacities and the ability to stay with it over time, sometimes in the face of great pressure to move on (e.g., the fisheries case).
 - Ownership of the research/process is important (e.g., MIMAP with the CBMS in Palawan and the efforts to build the ownership of the modelling work in Bangladesh).
 - Advocacy research: As was pointed out this morning, IDRC has supported a lot of technocratic research but the results have a political dimension and there are issues and implications associated with supporting advocacy work. Also, as stated by Diana Tussie when presenting the G24 case in Montevideo: “*Building policy on a minority view is very hard work*” (also illustrated in NWCF and tobacco cases in this workshop).
- Performance elements related to capacities relate to both researchers and IDRC, and they may or may not be distinct from each other:
 - For researchers for example:
 - Training and capacity building were a key focus in many of the projects;
 - Planning is critical;
 - IDRC often played a catalytic role by providing the resources or funds which help create a space for the work to happen;
 - Learning how to interpret research to policy makers – this is a big challenge, and in Montevideo it was suggested that if IDRC is expecting that some research influence policy then it needs to find ways to support this;
 - For IDRC:
 - Design capacities are evolving;
 - Follow-up and persistence (e.g. AFSSRN, IT Policy, CBNRM);
 - Building a common language for talking about policy influence.

- Cross-cutting:
 - The importance of developing linkages comes up in a number of cases (e.g., bringing the health sector and the health research community in Thailand into the negotiations around the regulations of the tobacco industry for example, and linkages were certainly a factor in the fisheries case bringing economics to have a stronger influence on the aquaculture market). And
- For Decision-makers:
 - Building decision capacity – How do decision-makers receive information? What is the role of research in helping build that capacity to receive the findings as well as for researchers to deliver the findings in ways that people can read them?

Comments from the floor included:

- In our thinking about influencing policy we mustn't lose sight of IDRC's goal to support good research.
- Because "influence" and "policy" cover a multitude of possibilities, it would be easier to assess whether a project has influenced policy if the expected type of influence (and on what policies) was identified ahead of time.
- Another important element of performance is likely the field of study/inquiry context, which can be different for different fields in the same country.
- IDRC needs to request reporting on policy influence in final reports in addition to the typical technical results reporting.
- Questions as to whether IDRC is expecting too much from researchers and whether IDRC can assist, for example, in developing the capacity for the policy influence side of their research program through training and/or partnering with those skilled in communicating research results for policy influence.

9.2 Priorities to Improve Performance of Future Activities

Below are summaries of the discussions of the two small groups, one representing researchers and the other IDRC, which worked to identify any additional elements of performance not identified earlier in Fred Carden's overview, and priorities to improve performance of future activities.

Researchers Group Report-Back

This group tried to identify things that they thought would help improve the performance of supported research projects. A summary of their discussion follows:

- The group identified two more elements of performance to add to the three that Fred Carden identified (i.e., contexts, motivations, and capacities) which were:
 - ❖ Networking, and
 - ❖ Partnerships.
- Follow-up activities were very important to deal with the huge implementation gaps observed in some cases. This had implications in terms of flexibility in the research programs to address this gap as well as building up researchers and the links between researchers and policy makers.
- It is important for researchers to have a deep understanding of the needs of the decision-makers. This would make the research more relevant to the country, but gaining this understanding requires some flexibility on the part of the funders in terms of the design of the research program.
- There is a need to increase the capacity to affect the priorities of decision-makers and this will involve exploring various mechanisms, which may differ from country to country.
- There is a need to build on successes – identify good practices and be able to replicate in other areas.
- Researchers and funders need to take account of the specifics of each country (e.g., in terms of contexts) when designing and implementing projects, especially multi-country research programs.

IDRC Group Report-Back

- The group identified one more element of performance to add to the three that Fred Carden identified which was:
 - ❖ External factors: man-made and natural events that come into play and sometimes make things happen (e.g., the 301 US in Thailand, the forest fires in Indonesia – sometimes they can create opportunities).
- The group discussed how external factors might be predicted or anticipated, and about capacities of IDRC staff and researchers.

- In terms of priorities to improve performance of future activities, the group identified the following:
 - 1) IDRC and researchers need to learn more about policy processes in specific countries.
 - 2) Develop analytical tools to predict what would happen if we did various things. Such tools might be scenario-building, mapping, and risk assessment (especially at the country level). Also need to learn from failures or things that didn't work out as expected.
 - 3) Increase our capacity to facilitate encounters of competing coalitions or encouraging dialogue between people or groups with diverging voices and interests.
 - 4) Deal with the political and ethical issues around the policy process.
 - 5) Be a bit more careful of the future of researchers – does IDRC push too hard in getting things done and get too involved in policy oriented work?
 - 6) Increase IDRC's and recipients' ability to identify policy movers.
 - 7) Think more strategically about the value of networks, address why IDRC supports networks, understand what they are doing and how are they doing it.
 - 8) Build communications strategies from the beginning both at the project and country levels.
 - 9) Increase the access to online resources or knowledge in general.
And,
 - 10) Funders need to consider the building of the capacity of advocacy organizations.

10.0 Taking it Away

What to take away from this workshop in terms of policy influence and research to policy link:

- 1) Develop a common language – What is policy influence?
- 2) What are the realistic expectations? – Where will the research projects have effects?
- 3) Who is to do what? – What are the jobs of the researcher in policy influence activities?
- 4) Institutional environment – paying attention to country narratives.
- 5) Understanding how to use community mobilization and advocacy.
- 6) Maintain flexibility as to carrying out projects (as a funder).
- 7) Persistence or “legacy management” in terms of donor support – When do you get out? How is the legacy maintained?
- 8) How do we improve the understanding of the use of research? - To be clear as to what exactly is the research question.

Appendix 1: List of Participants – Bangkok Workshop



The Influence of Research on Public Policy Workshop Montien Riverside Hotel, Bangkok January 13 - 14, 2003

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Appendix 2: Presentation Slides

Fred Carden



The Influence of Research on Public Policy

Fred Carden
Bangkok
13-14 January, 2003

Looking back to move forward

We were always short of time, so in the absence of a framework or pressure, we were always looking ahead at what we had to do, rather than back at what we had done

– A PO quoted in the mining case (Peru)

Three Questions

- What do we mean by influencing public policy?
- Where have we done so?
- What factors have contributed to and inhibited policy influence?

Methodology

- Background research
- Field work
- Analysis
- Findings presentation and
- Dissemination

Background Research

- Literature Review (Neilson)
- Framework Study (Lindquist)
- Evaluations Review
- PCR Review
- Program document Review
- History of Intent Study
- <http://www.idrc.ca/evaluation/>

Field Work

- Rich case studies
- Purposive sample
- Across program areas and regions
- 23 cases, 65 projects, \$55 million
- From \$35,000 to \$10 million in size
- 14 complete in draft form
- Related studies: TIPS, EEPSEA, etc.

Analysis

- Regional Workshops
- Consultant analysis
- Advisory Committee
- Issue analysis
- In-depth data coding and analysis

Use of the Research

- Outcomes of Regional & Ottawa workshops
- A volume presenting key findings
- Management notes to IDRC
- A tools and methods volume for assessment of research intended to influence policy
- A presentation of the cases
- Communications developed out of the material

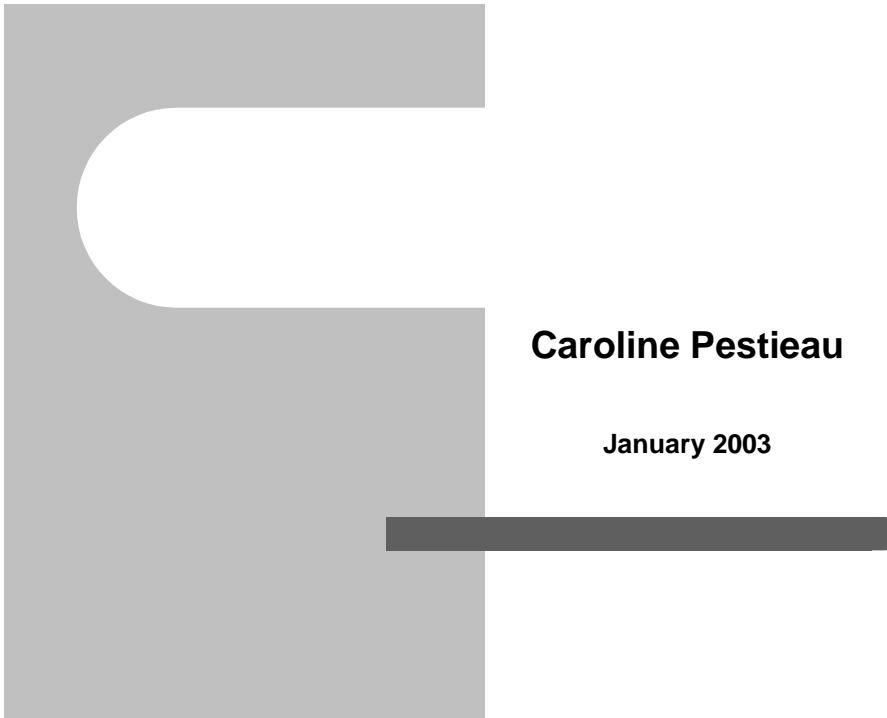
Purpose of the Workshop

- To explore the findings of the case studies
- To clarify what was learned
- To uncover common learnings
- To consider how these findings will help us in the future

The Next two days: Agenda review

- Overview: Pestieau
- Posters
- Case Presentations & Discussion
- Types of Policy Influence: Lindquist
- Forces in research-policy processes: Vernooy
- Performance: Carden
- Taking it Away

Caroline Pestieau



1. Plan

Four considerations for discussion:

- **Need for a Southern perspective on the research to policy interface**
- **Knowledge production is changing**
- **Organizing the research to policy interface**
- **Policy windows**

2. Assumptions

- **Empirically-based policy is desirable but unusual**
- **Policy = public, usually national, policy**
- **'South' and 'North'**
- **Looking for impact on policy-makers in the South**
- **Research ?research findings ?knowledge production**

3. Research to Policy: a Northern Topic

- **North America: public choice and pressure groups**
- **UK: 'Improved' public policy and practice**
- **Sectoral councils in Northern Europe**
- **Attention starting in the South**

4. Distinctive Environment in the South: Hypotheses

- National actors are not alone
- Power relationships are more explicit
- Intermediary, third sector, is less developed
- Greater implementation deficit
- Less confidence in national research
- Challenges from turnover

5. Changing Nature of Knowledge Production

Two cultures approach

Researchers in universities ?Policy-makers doing deals

Differ in:

- formulating problems
- reward systems
- quality standards
- time horizons

5. Changing Nature of Knowledge Production (Cont'd)

Interactive knowledge production

- Users of research involved in problem definition, providing feedback and modifying objectives
- Research funded from multiple sources
- Carried out by multidisciplinary teams

5. Changing Nature of Knowledge Production (Cont'd)

Research Entrepreneurs and Policy Entrepreneurs

- Specialized research centres
- Think tanks
- NGOs
- Pressure groups
- Consultants
- Journalists

6. Implications of New Knowledge Production Process

- A certain continuum research-policy in the North
- Research findings are relevant but translated
- Research findings can be privatized, manipulated
- Individual researcher has no impact
- Relevance to the South?

7. How the Interface is Organized

Two Poles

- Policy communities, and
- Gatekeepers

8. Policy Communities

Context

- Pluralist society, many competing interests, complex bureaucracy, issues technically sophisticated;
- Many actors: politicians, bureaucrats, large and small firms, unions, NGOs, regional and municipal governments
- Key resources for bureaucrats: legitimacy, legislative time

Interdependence

- Policy-makers need technical information, feedback, legitimacy;
- Other actors need accommodating policies, advance information ...

8. Policy Communities (Cont'd)

Actors make up a policy community

- Mutual education
- Shared language and problem definition
- Agreed agenda ? ‘Sub-Government’

Attentive public

- Outer circle around Sub-Government
- Challenges its conservatism

8. Policy Communities (Cont'd)

Advantages

- **Stability**
- **Established information channels**
- **Established trade-off mechanisms**
- **Attentive public can critique and feed in new ideas**

Disadvantages

- **Conservatism**
- **Exclusion**

10. Gatekeepers

**Adoption and implementation of policies
subject to multiple gatekeepers acting
individually and competitively**

- **Arbitrary demands**
- **Unstable environment**
- **Disincentive to network and share information**

11. Relevance to the South

Cases demonstrate importance of
institutional factors

- **Public-private sectors collaboration**
- **Building trust among different participants**
- **Continuity in introducing new ways of doing things**

12. Policy Windows

What is the demand for new knowledge?

- **To solve a problem**
- **To justify a position**
- **To respond to a new situation**

Enlightenment function of research

- **Knowledge production as an investment**
- **Whetting the appetite for change**

Expectations

Lindquist's typology

- **Expanding policy capacities**
- **Broadening policy horizons**
- **Affecting policy regimes**

Robert Pomeroy ⁷

**IDRC-Supported Research
and its Influence on Public Policy:
A Case Study Analysis of the
Asian Fisheries Social Science Research Network
(AFSSRN)**

Robert Pomeroy
Department of Agricultural and Resource Economics and
Connecticut Sea Grant Program
University of Connecticut-Avery Point
Groton, Connecticut USA

Workshop on
The Influence of Research on Public Policy
Bangkok, Thailand
13-14 January, 2003

Results of a project supported the Evaluation Unit of the
International Development Research Centre, Ottawa,
Canada

⁷ Four slides from the original presentation (i.e., two slides with photos of AFSSRN members, 1 slide of a map showing the locations of participating institutions, and 1 slide of an AFSSRN promotional flyer) are not included here due to the 'electronic' size of those slides.

Context

In the early 1980s, the issue of overexploitation of fisheries and environmental degradation of coastal resources was high on the agenda of governments in Asia

Much of the research on these issues was undertaken by biologists, and most managers and policy-makers were trained in biology

There was growing recognition that the real solution to these problems were social, economic, institutional and political in nature

There was recognition of the need for a broader, multidisciplinary approach to addressing these issues

There was a dearth of social scientists working on fisheries, aquaculture and coastal issues in Asia

Social scientists, particularly economists, had little interest in these areas

No systematic program on economic and policy research

Government policy-makers were requesting more information from researchers on these issues to improve policy

Limited interaction between researchers and policy-makers

Inputs: The AFSSRN

The Network sought to address two constraints:

1. Serious shortage of experienced social scientists
2. Weak institutional support for long-term fisheries social science research

The Network's objective was to build national research capacity to address important social science issues in the development and management of fishery resource in Asia

The Network aimed to overcome these problems through:

- training
- scholarships and advanced degrees
- research activities
- information exchange
- seminars
- workshops
- exchanges

The Network had five phases from its origin in 1983 to 1996

Each phase had different objectives and research priorities

Geographic focus was Southeast Asia (Philippines, Thailand, Malaysia, Indonesia, Vietnam)

Coordination was provided by the International Center for Living Aquatic Resources Management (ICLARM) based in Manila, Philippines

Phase I (1983-1986)

Three members:

- University Pertanian Malaysia
- Kasetsart University, Thailand
- University of the Philippines in the Visayas

Research Program funding on fisheries and aquaculture

Training in fisheries economics

Networking

Institutional team development

Focus on capacity development and research

Policy not a high priority

Phase II (1985-1988)

Expansion of membership:

- Universitas Diponegoro, Indonesia
- Center for Agro-economic Research, Indonesia
- Department of Fisheries, Indonesia
- Southeast Asian Fisheries Development Center-Aquaculture, Philippines
- University of the Philippines, Los Banos
- Prince of Songkla University, Thailand

Focus on marine fisheries management, coastal aquaculture systems, farming systems

Little actual policy analysis

Premature to focus on policy research over basic social science research and capability building

Phase III (1988-1994)

Expansion of membership:

- dropped Center for Agro-economic Research, Indonesia
- Central Research Institute for Fisheries, Indonesia
- Research Institute for Marine Fisheries, Indonesia
- University of Malaya, Malaysia
- Central Luzon State University, Philippines
- Bureau of Fisheries and Aquatic Resources, Philippines
- Research Group for Agro-ecosystems, Indonesia

Focus on capture fisheries, aquaculture systems, marketing

Policy research began to be undertaken

Links established between researcher and policy-makers and managers

Growing capacity to undertake policy research

Phase IV (1995-1996)

Expansion of membership:

- Ministry of Fisheries, Vietnam
- Cantho University, Vietnam

Focus on common property/co-management, integrated agriculture-aquaculture systems, policy analysis, methods

Strong emphasis on policy research

high capacity of members to do policy research and link with policy-makers

Training course on transforming research into policy

Beyond IDRC Support

Section of Asian Fisheries Society
Support from ICLARM

A New Direction: Providing Information for Policy-Making

“Before the AFSSRN it was difficult to find economists working on fisheries issues in Thailand. We did not have good economic information on which to make decisions. We relied on biological information, but that only gave part of the information that we needed to make good policy. Now, in part as a result of the AFSSRN, we can ask the Fisheries Economics Division or Kasetsart University for an economic analysis. We now make more informed policy”.

Mr. Prayot Supavivat, a senior official in the Department of Fisheries, Thailand.

“Originally I would just do research for research’s sake. My audience was not the policy-maker. Now being in government I better understand the need for good research to inform my decision-making and I better understand why the AFSSRN was pushing, through training, the need for us to do policy relevant research. I request our researchers, both in government and in academe, to do research which I can use to support or not support decisions”.

Dr. Victor Nikijuluw, Ministry of Marine Affairs and Fisheries, Indonesia

“Having found that policy-makers will listen to good research, we have reoriented some of our research away from being just applied to being policy relevant. The training course offered by the AFSSRN on translating research into policy helped us to learn how to do this”.
Mr. Ruben Sevilleja, Central Luzon State University, Philippines

Case Studies

A number of case studies were prepared on the influence of the AFSSRN on members and public policy

Mr. Pongpat Boonchuwong
Assistant Director
Fisheries Economics Division
Department of Fisheries, Thailand

- In 1985, economist in Fisheries Economics Section of the Fishery Policy and Planning Division
- Before the AFSSRN, limited fisheries economics knowledge
- Under AFSSRN, staff trained and capacity improved
- As capacity increased, fisheries economics was recognized by the DG
- Expansion of staff and establishment of Fisheries Economics Division

- Early, duties were on technical analysis
- As capacity increased, more request for policy analysis
- Example, new National Fisheries Policy Plan for 2002-2006, Division prepared a situation analysis and guidelines for DOF

- AFSSRN supported research project had policy implications
- A review of CBCRM in Thailand resulted in recommendation that small-scale fishers should be given preferential rights to nearshore waters
- This recommendation served, in part, as the foundation for the Department of Fisheries development of a fishing rights program and of policies for community-based management and co-management

- Pongpat and the Fisheries Economics Division has two audiences
 - Private sector through Fish Association of Thailand
 - Government DG ->National Fish Development Board
->PM
- “research projects of the Division, including those supported by the Network, have policy influence on the highest level of government in Thailand.”

Outcomes

The AFSSRN and its Influence on Public Policy

The Network, as a project, was not designed, until its last phase, to have an influence on public policy.

The Network's overriding objective was to build national research capacity to address important social science issues in the development and management of fishery resources in the region.

However, the networking, training and education, research support, and information dissemination activities did both directly and indirectly influence policy for fisheries and aquaculture in the region.

There were a number of stages in the Network's development and links to its policy influence. These stages, not a linear set but a flow with some going in one direction and some another, are:

1. limited capacity and skill base in the first instance
2. increasing research skills through training and education and small research grants program
3. gaining confidence
4. career development and advancement of network members
5. networking among members
6. publishing research
7. influencing policy
8. providing advice to others (consulting)

Recommendations

- Capacity building in policy research and analysis
- Research dissemination
- Networking
- Confidence building

Overview of Tobacco Control in Thailand

Prof. Prakit Vateesatokit

January 9, 2003

<u>Project</u>	Tobacco Control 1974-2002
<u>Context</u>	<ul style="list-style-type: none">- High smoking prevalence (male = 70%, female = 5%)- High smoking related morbidity and mortality.- No tobacco control measure/policy

- Input
- Formation of Co-ordinating group on tobacco control
 - Existing international research data
 - Specific research question for advocacy and policy lobbying

- Process
- Use of international and domestic research data for advocacy and lobbying for tobacco control policy/legislation.
 - Consultation with international expert for advice.
 - Political gamesmanship to gain support from key officials and legislators

- Outcomes -
- Passing two comprehensive tobacco control laws in 1992
 - Establish the tax for health policy(1993-2001)
 - Passing the Health Promotion Act funded by a dedicated tax on tobacco and alcohol (2001).
 - Progressive decreased in smoking prevalence and consumption

Back ground – Thai government owns the Thailand Tobacco Monopoly (TTM)

1974 – Printing of health warning (an executive order by the Prime Minister)

1976 – Bangkok City ordinance banning of smoking in cinemas and on buses

(Key actor : The Thai Medical Association)

- 1976 – First National survey of smoking prevalence.
- 1985 – cost of treatment of smoking related diseases.
- 1987 – Prevalence of smoking in Thai physicians(21%), teachers(33%), monks (53%) and school children
- 1988 – Prediction of future mortality in Thai children from smoking

More than a million of the children now living in Thailand will eventually kill themselves by smoking cigarettes

Richard Peto 1988

Prediction based on 3 national survey of smoking prevalences. (1976,1981,1986)

1988 – Executive ban of cigarette advertising by the cabinet.

(“Counter claim” made by health groups when TTM was granted permission to upgrade it’s cigarette producing machine)

1989 – Legislative ban of cigarette advertising using existing consumer Protection Act of 1979.

(Key actor : ASH Thailand and health groups)

1989 – USTR using Section 301 of the US Trade Act to negotiate for the opening of Thai cigarette market

1990 – Thai Cabinet lifted the import ban
“Counter claim”
- Approval of the Tobacco Product Control bill

(Key actor : ASH Thailand, health groups, MOPH. Research data from Japan, South Korea, Taiwan)

- 1990 – Measurement of carbon monoxide
(from smoking) in an air
conditioned room
- 1991 – Prevalence of smoking among
Thai medical students.
- 1992 – Smoking attributable mortality in
Thai
 - Smoking prevalence in Thai police.
 - Smoking prevalence in members of the
National Legislative Assembly.

1992 – The Tobacco Product Control Act.

- The Nonsmoker's Health
Protection Act.**

**Setting – Interim government (All cabinet
members are technocrat)**

- National Legislative Assembly**

**Both were appointed by military strongman
responsible for the coup**

Potential health benefits of a 10% increase in the real price of tobacco through taxation in Thailand

....would lead to a 10% decrease in adolescent smoking,

This would mean that 75 400 more of current (15-19 year-olds) would never start to smoke, and 9425 future deaths of today's Thai adolescents would be prevented.

Characteristic	1986	1991	1993	1993	2001
National Average Annual Income (Baht)	21,000	44,000	54,000		
Price of 1 Pack of Cigarettes (Baht)	13	15	15	18	35
Average Daily expenditure	54	128	128		160
Average Daily expenditure of cigarettes	4.15	8.53	8.53		11

Source: Excise Dept.

Advocate for Tax for Health Policy

Strategies (1988-1993)

1. Research on tobacco-related health expenditure
2. Publicized the effect of tax increase in other countries
3. Invite WHO expert to calculate the effects in Thailand
4. Estimation of revenue increases with various level of tax increases in Thailand
5. World Bank and Asia Development Bank policy on tobacco control
6. International expert wrote to cabinet members.
7. Public opinion Poll
8. MOPH VS MOF's role

Excise tax, cigarette sales and tax revenue

Year	Tax(%)	Sales (million Pack)	Tax revenue (million of Baht)
1992	55	2035	15,438
1993	55	2135	15,345
<u>1994</u>	<u>60</u>	<u>2328</u>	<u>20,002</u>
1995	62	2171	20,736
1996	68	2463	24,092
1997	68	2415	29,755
1999	70	1810	26,708
2000	71.5	1826	28,110
2001	75	1727	29,627

Regular Smokers by Number and Percentage (1981-1999)

Year	Smoker (million)	(%)
1981	9.7	27.8
1986	10.3	26.4
1988	11.1	25.0
1992	11.4	26.3
1994	10.4	22.8
1996	11.2	23.4
1999	10.2	20.5

Source : National Statistics Office

Year	Per capita GDP (US\$)	Per capita consumption (cigarette sticks)
		Legal sale
1986	820	884
1988	1136	934
1991	1736	1018
1993	2155	1043
1996	3032	1132
1999	1980	795
2001	1822	735

Advocate for a dedicated tax on cigarette and alcohol for health promotion

Strategies (1995-2001)

- Health Promotion decrease health care expenditure
- Increase tax would decrease tobacco and alcohol consumption
- The notion of "sin tax" made it easier to sell the idea of health promotion.
- the Australian experiences
- A policy recommend by WHO
- Moral issue in Government's liberalization of cigarette and alcohol trade
- Public opinion poll
- Enactment of Health Promotion Act 2001

Thai Health Promotion (Thai Health)

an autonomous state agency under the supervision of the Prime Minister, funding health promotion related activities with 2% of alcohol and cigarette taxes

MOPH Smoking

control budget = 12 million Baht/year

ASH budget = 3-5 million Baht/year

Thai Health Promotion

Foundation's budget = 1,400 million Baht/year (US \$
35 million)

Smoking Prevalence 1999 (%)

Age	Female	male
15-19	0.02	12.4
20-24	0.7	35.4
25-29	1.1	47.6
30-34	1.5	48.3
35-39	2.4	51.5
40-49	3.9	51.4
50-59	5.6	50.0
>60	4.8	45.1
All age	2.6	38.9

Smoking arte among women of speciic occupations in Bangkok metropolis (%) 1993

- | | |
|------------------------|------|
| ● Massage parlors girl | 47.4 |
| ● Airline stewards | 10.0 |
| ● Construction workers | 9.0 |
| ● Housewives | 6.0 |
| ● Businesswomen | 5.0 |

Survey of 1,360 female high school and vocational students in Bangkok (1997)

- Smoking rate = 4.9%
(National rate = 0.3%)
- Foreign brands as brand of choice = 80%
- Marlboro as brand of choice = 66.7%

[Yong female preferred foreign brand more than young male]

Year	2000	2025
Population (million)	64	80
Male smokers (%)	42.6	25
Female smokers (%)	2.6	15
Overall (%)	22.5	20
No smokers aged 15+ (million)	10.5	13

Dr. Judith Mackay

“Thai women do not smoke” project

Advocate for Thai Women not to smoke

Reasoning

1. very low smoking rate in Thai female
2. very low smoking related morbidity and mortality
3. Smoking among Thai women is socially unacceptable
4. A major preventive public health opportunity

Strategies

- Networking of female celebrity and columnist
- Smoke Free Beauty Pagent
- monitoring of smoking prevalence in female teenage
- Ban of smoking scene on TV
- Successful Campaign against production of female brand of cigarette by TTM

Linking research to policy

- Use existing international research data
- Refer to credible organizations WHO,
World Bank, US Surgeon General, ACS
- Research question specifically designed to
influence decision maker
- Public opinion poll

Kevin Kelpin

The Influence of Research on Public Policy

Kevin Kelpin
IDRC Evaluation Unit

Bangkok
Jan 13-14, 2003

Case Studies of Recipient Institutions :

- Nepal Water Conservation Foundation (NWCF); Nepal
- Vikram Sarabhai Centre for Development Interaction (VIKSAT); India

**From
Defining Emerging Water Problems
to
Understanding Social Responses to Water
Management Needs**

- Phase 1 1997/05 /01 – 2001/05/3
- Phase 2 2000/02/01 – 2002/08/01

Context: Conceptual

- Water Scarcity
- Supply vs. Demand
- Local vs. Large
- Groundwater Management
- Water Planning Approaches
- Increasing Research Information

Context: Political and Practical Realities

<u>Nepal</u>		<u>India</u>
Strong	Water and Power Donor Influence	Weak
Weak	Political Stability	Strong
Weak	Strength of Civil Society	Strong
Weak	Broad Access to Research	Weak
	Informal Power Structures	

Inputs:

What did the project set out to do?

- Generation of basic data on case study areas
- Generate research on local water management options responding to water scarcity
- Inform dialogue among stakeholder groups
- Capacity Building
- Dissemination

Process:

What happened (with particular reference to policy influence elements)?

- Production of case studies
- Stakeholder Forum
- Social Auditor
- Participatory Collective Process for Project Management
- Writing Workshops
- WEAP Analysis

Outcomes (1):

What were the policy related outcomes?

- Production and dissemination of knowledge and information
- Increased interaction between stakeholders
- Improved access to research knowledge and findings

Outcomes (2):

What were the policy related outcomes?

- Development and strengthening of networks and partnerships
- Alternative perspectives and processes
- Capacity building support by recipient organizations to other local civil society organizations

Types of Policy Influence

(From Lindquist 2001)

- Expanding Policy Capacities
- Broadening Policy Horizons

Expanding Policy Capacities

- Improving the knowledge/data of certain actors
- Supporting development of innovative ideas
- Improving communication capabilities
- Developing new talent for research and analysis

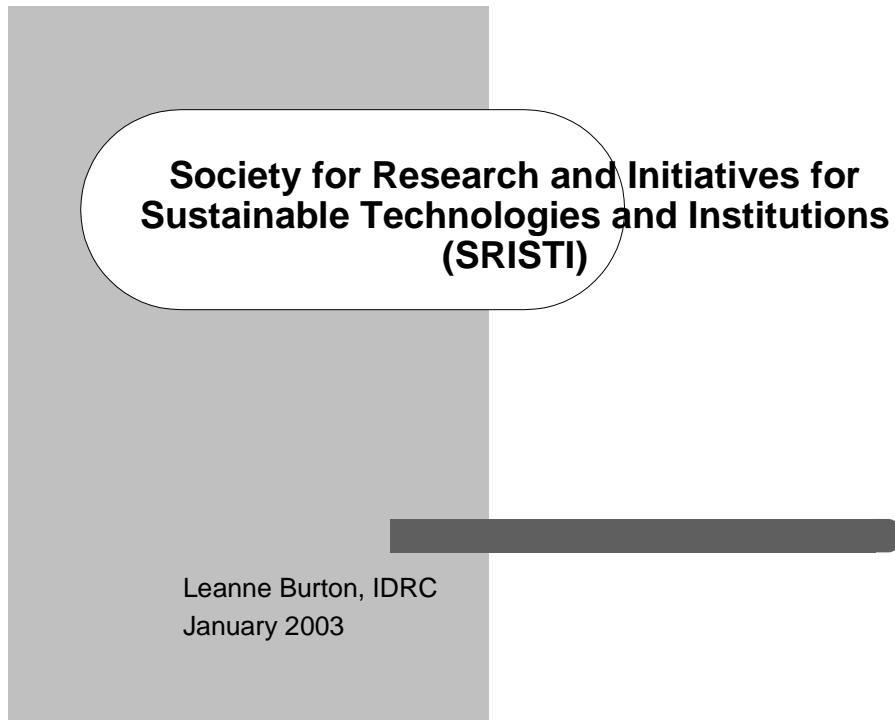
Broadening Policy Horizons

- Providing opportunities for networking/ learning
- Introducing new concepts/ideas and stimulating debate among stakeholders and the general public
- Educating researchers and others

Factors in Policy Influence

- Personal Characteristics of Researcher
- Enabling Environment
- Critical Mass of Research
- Financial Stability of Recipient Organization
- Dissemination Strategies
- Target Audiences

Thank You



Background

- Three phases since 1992 (Phase 3 ongoing)
- Total internal funding (core) to date: CAD\$651,141
- Initiated by Professor Gupta, IIMA and colleagues
- Initial objective was to stem the erosion of traditional knowledge and to document local innovation
- Over time the objectives have expanded to include: adding value, providing incentives and income, protecting IPRs, and developing approaches for targeting women

Context

- Past 15 years movement on IPRs; WTO TRIPS agreement
- 2nd generation challenges of the Green Revolution
- Hallmarks of formal science – isolated, reductionist, hierarchical, values and rewards

Inputs

- Honey Bee philosophy, Ghandian notion of “inverting the pyramid”
- From recognition/dissemination to rewarding, adding value, marketing, and protecting
- Reliance on networks and communication
- An “advocacy coalition”

Processes

- Continuing challenge of interfacing between formal and informal science
- Years of groundwork, networking, lobbying
- Working at all levels of government
- Proactive, persistent, patient, participatory

Outcomes

- Policy impact at the level of ideas (state, national, and international)
- Government creation of GIAN (1997) and NIF (2000) – space for SRISTI to continue its work
- Established links with formal systems of innovation, voluntary and industrial organizations
- Potential future impact through schools and students

Facilitating Factors

- Timing – SRISTI's years of groundwork have “come of age”
- A fit with the globalization agenda
- BJP philosophy of “Hindutva”
- International movement to recognize IPRs – policy window
- Professor Gupta – a “policy entrepreneur”

Inhibiting Factors

- Financial resources have diluted or delayed some of the work
- Small management base
- Formal science reluctance to update its thinking

Types of Policy Influence

Expanding Policy Capacities

- Improved knowledge/data of actors at the state/central government levels
- Building future capacity through student volunteers
- SRISTI has improved its capability to communicate its ideas (different tools for different audiences)

Types of Policy Influence (cont'd)

Broadening Policy Horizons

- SRISTI has provided many opportunities for networking/learning
- It has introduced new concepts to frame debates, put ideas on the agenda, and stimulated public debate
- It has educated researchers and others who have taken up new positions with a broader understanding of the issues

Leanne Burton

The Development of Nepal's IT Policy

Leanne Burton, IDRC
January 2003

Background

- Funded through PAN Asia's R&D Small Grants Programme
- One-time grant of CAD\$60,671
- Proposal received from Nepal's National Planning Commission
- Objective was to develop a national IT policy for Nepal through a participatory process

Context

- ICT optimism
- Regional influence
- New government, new ministry

Inputs

- Government's objectives vis-à-vis ICTs
- One major impetus: attracting foreign investment
- Element of “policy transfer”
- Government selection of participants

Processes

- Largely participatory
- Six strategy papers, discussions, final workshop
- Almost entirely Nepali professionals
- Strongest “advocacy coalition” private sector, most prominently represented by CAN

Outcomes

- New policy developed and ratified; implementation has been slow
- Progress made on: HRD, IT park, implementing institutions, IT Bill
- Government’s (and public’s) knowledge has increased
- “Broadening of the policy horizon”

Outcomes (cont'd)

- Process provided opportunities for networking and learning
- Policy incorporated many – but not all – issues and recommendations in the strategy papers

Types of Policy Influence

Affecting Policy Regimes

- Introduction of new policy

Expanding Policy Capacities

- government has a better understanding of ICT issues

Types of Policy Influence (cont'd)

Broadening Policy Horizons

- government and private sector have learned from one another and continue to work together

Inhibiting Factors

- Short time-line
- Political realities: instability; lingering traditions from pre-democratic era; security concerns and related budgetary constraints
- Focus on policy development, not on implementation

Facilitating Factors

- Emergent decision regime and thus a window of opportunity
- Government's goals as outlined in its 9th five year plan (1997-2000)
- Several years of “softening up”
- Technical and financial support

Evert Lindquist



Purpose of this presentation...

- To review different ways academics have sought to conceptualize the impact of research on policy-making
- To tap into the experience, knowledge and contacts of IDRC staff on the following questions:
 1. *What are the implications of these frameworks for understanding the nature of policy influence associated with IDRC-supported research projects?*
 2. *To what extent do these frameworks help to capture your experience with IDRC projects?*
 3. *How might we adapt these frameworks to make them more appropriate for understanding our work?*

Overview of Presentation

- Some Cautionary Observations
- Relevant Frameworks & Literature
- Levels and Types of Policy Influence
- Implications of the Frameworks
- Questions for Discussion

Some Cautionary Observations

- Understanding causal influence is difficult in the best of circumstances for any activity: it is an especially complex task to demonstrate how “outputs” such as research affect “outcomes” and “policy impacts”
- Assessments of the effectiveness of the funding of research are generally difficult due to the multiplicity of actors and the dynamics of policy processes
- These assessments are further complicated when one seeks to adapt precepts developed for analyzing Northern contexts to diverse Southern experiences
- Requires appropriate expectations, developing the right methodologies, and careful/subtle observations

Several analytic frameworks might inform how this study is approached

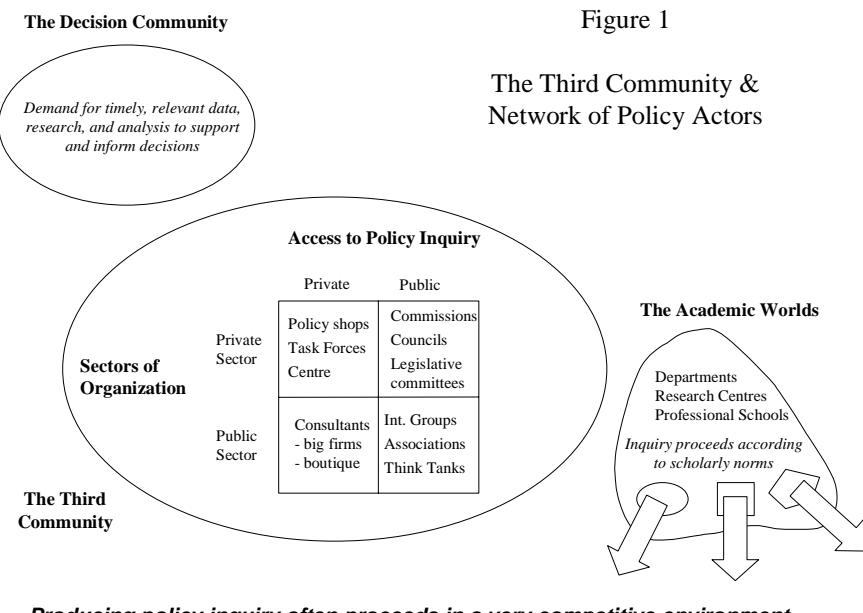
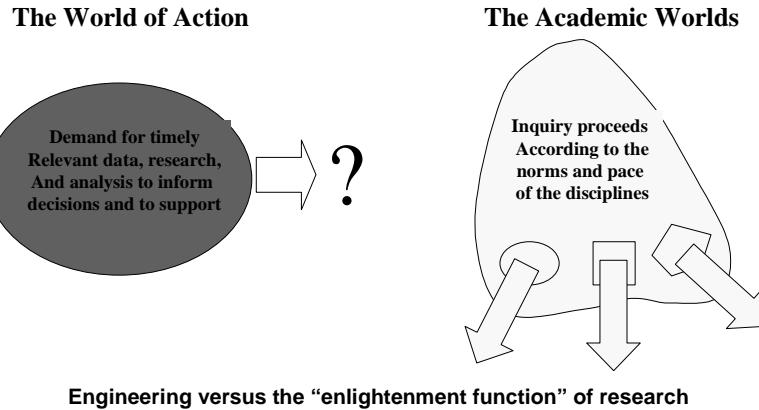
There are pertinent literatures on...

1. knowledge utilization
2. policy communities and networks
3. values, conflict, and policy-oriented learning
4. different modes of policy inquiry
5. routine, incremental, and fundamental decisions
6. agenda-setting and policy-making processes

1. Knowledge Utilization....

Chart 1

The Two-Community Formulation



2. Policy Communities and Networks....

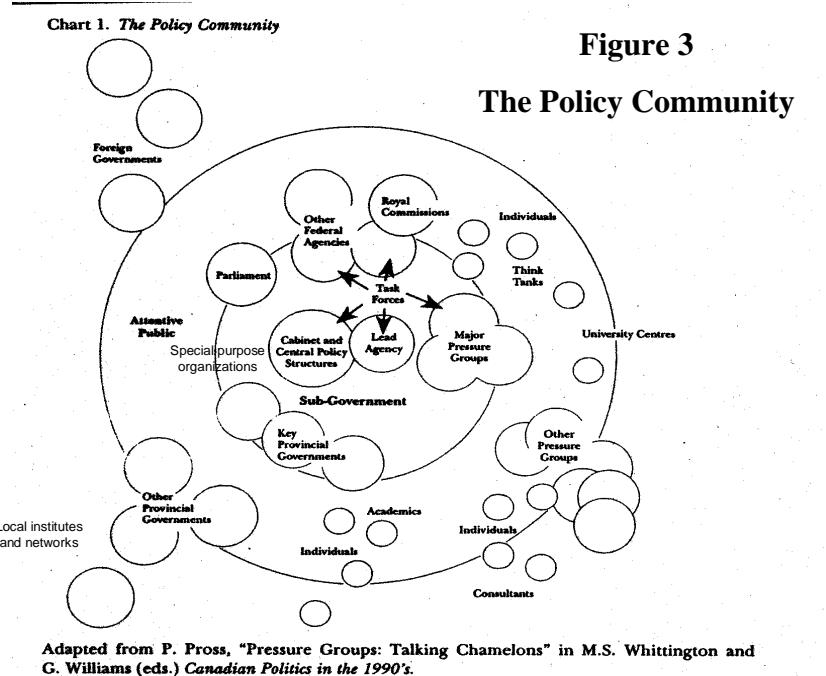


Figure 3A

Policy Communities
Envisaged as Constellations of
Organizations or Individuals

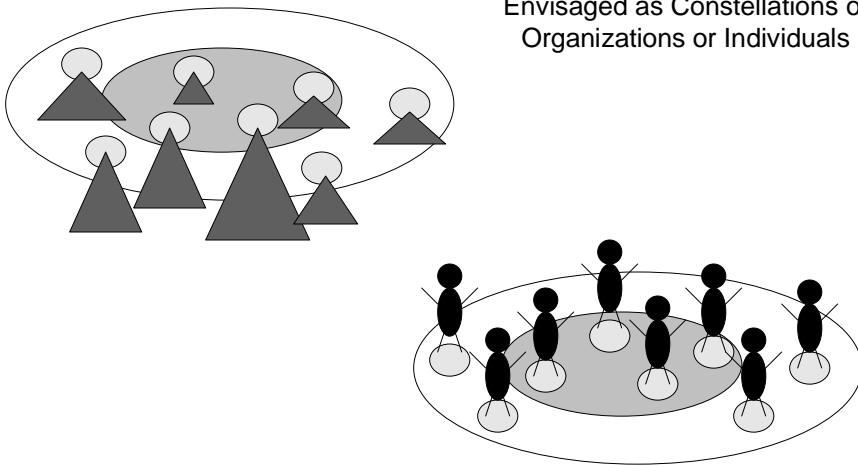
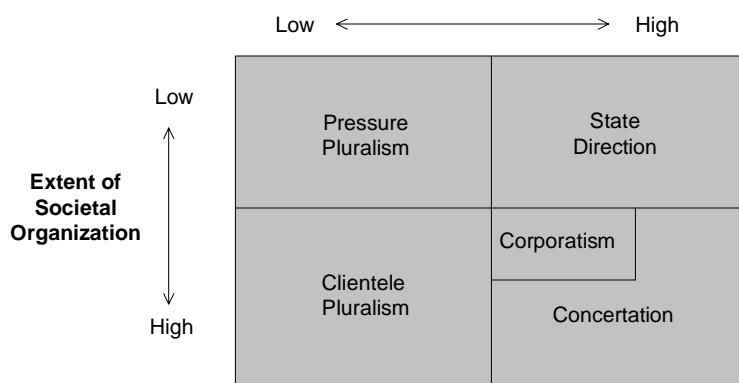


Figure 4

Extent of Government Organization:
Coordination and Capacity



Sub-governments or policy networks have different patterns of power, including capacities distributed across levels of government

Source of variation: policy sector, country style, North or South?

3. Values, Conflict, and Policy-oriented Learning...

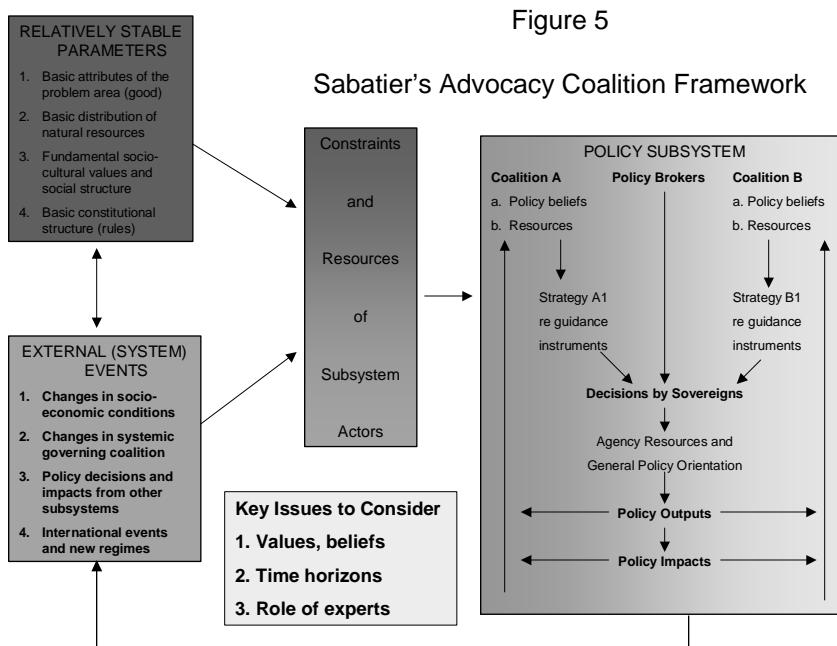
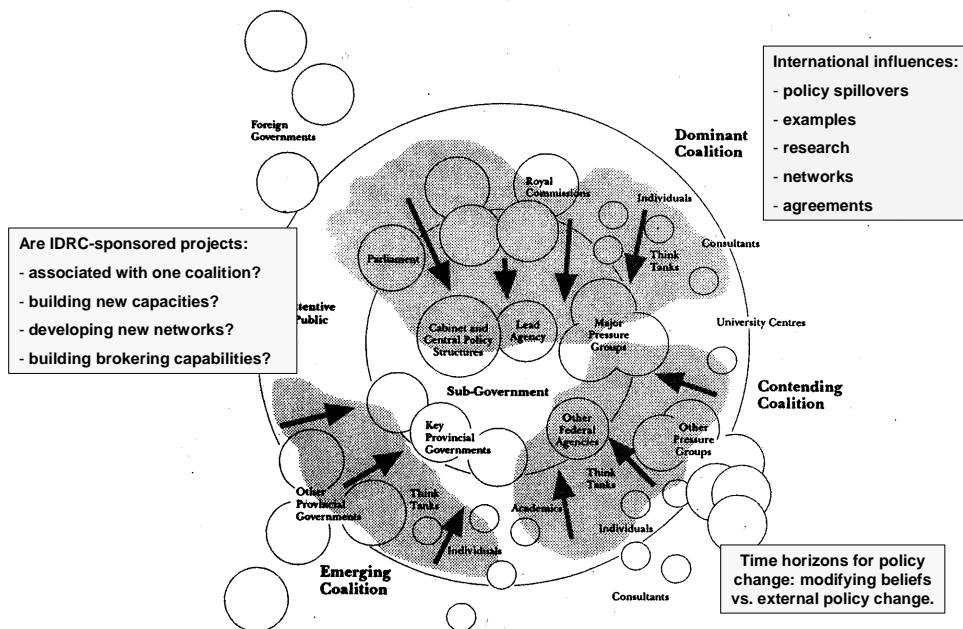
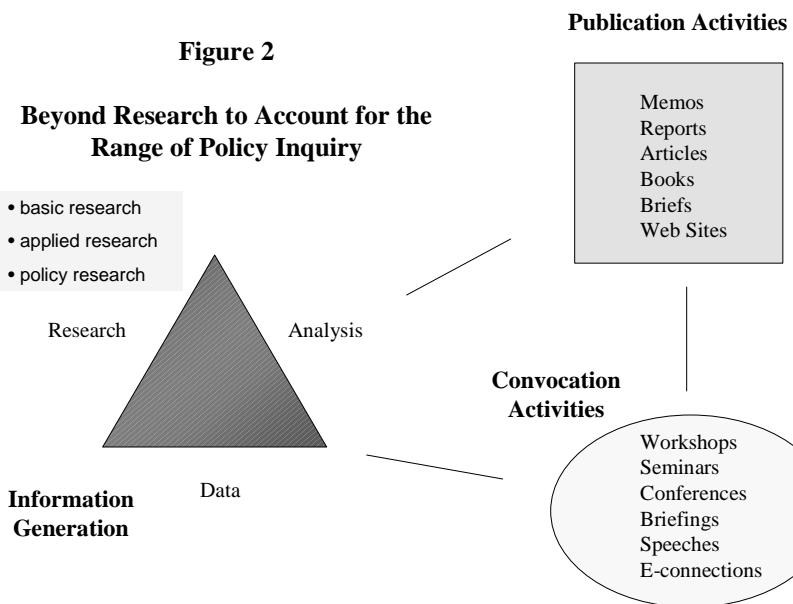


Chart 4. *The Policy Community: an alternative interpretation*



4. Modes of Policy Inquiry...



5. Decision Regimes and Implied Demands for Information...

Figure 8

How Consensus on the Policy Base, Number of Actors, and Type of Information Should Logically Change for Different Decision Regimes

Decision Regime	Routine	Incremental	Fundamental	Emergent
Status of Consensus On the Policy Base	Intact	Policy base largely intact but marginal issues arise	Core principles of policy base open to scrutiny	<i>No consensus – the field is wide open and open to development of a broad vision</i>
Number of Actors Involved in Decision Processes	A few actors with responsibility to implement policy by policy-makers	A few policymakers with a stake in the marginal issue	All policymakers and actors potentially affected or concerned about a significant change	<i>Relatively small number at the outset</i>
Type of Information Sought	Data that can inform existing routines, and analysis to determine when to switch to other routines.	Analysis on selected issues – the method of successive limited comparisons for the issues at hand.	Information on fundamental variables, and that probes underlying assumptions. Will also require analysis, data of considerable scope.	<i>Inquiry at a broad level for perspective, but work proceeds on selective issues</i>

6. Agenda-Setting & Policy Windows

Figure 7 Agenda-Setting and Public Policy

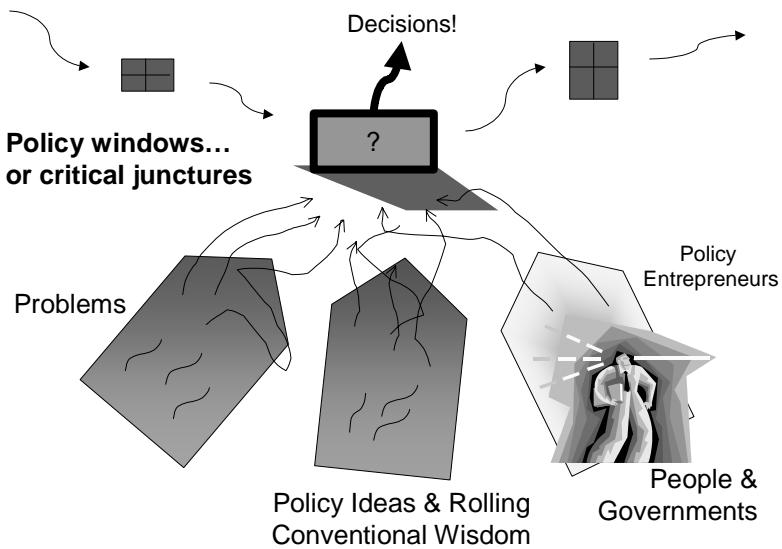
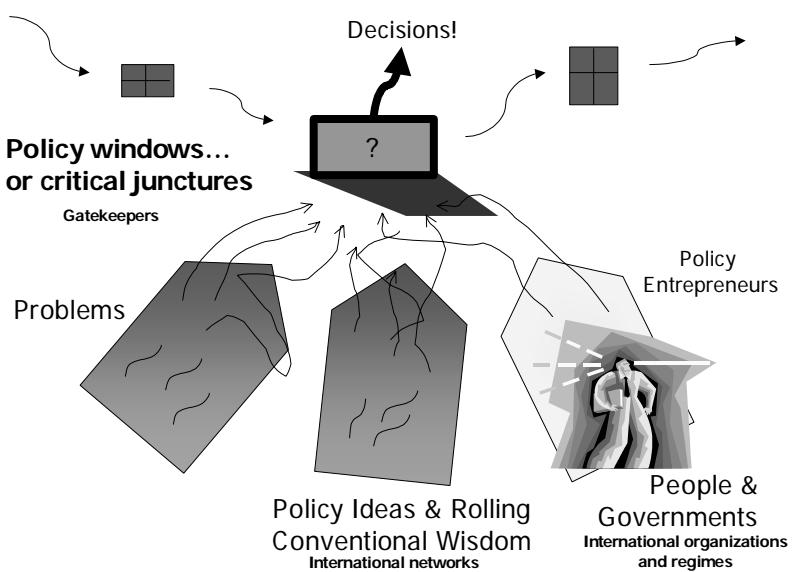


Figure 7 Agenda-Setting and Public Policy



Implications.....

Figure 9 Types of Policy Influence

Expanding Policy Capacities

- Improving the knowledge/data of certain actors
- Supporting recipients to develop innovative ideas
- Improving capabilities to communicate ideas
- Developing new talent for research and analysis

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Broadening Policy Horizons

- Providing opportunities for networking/learning within the jurisdiction or with colleagues elsewhere
- Introducing new concepts to frame debates, putting ideas on the agenda, or stimulating public debate
- Educating researchers and others who take up new positions with broader understanding of issues
- Stimulating quiet dialogue among decision-makers

Figure 9 Types of Policy Influence

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Affecting Policy Regimes

- Modification of existing programs or policies
- Fundamental re-design of programs or policies

Figure 10
Framework for Strategic Evaluation

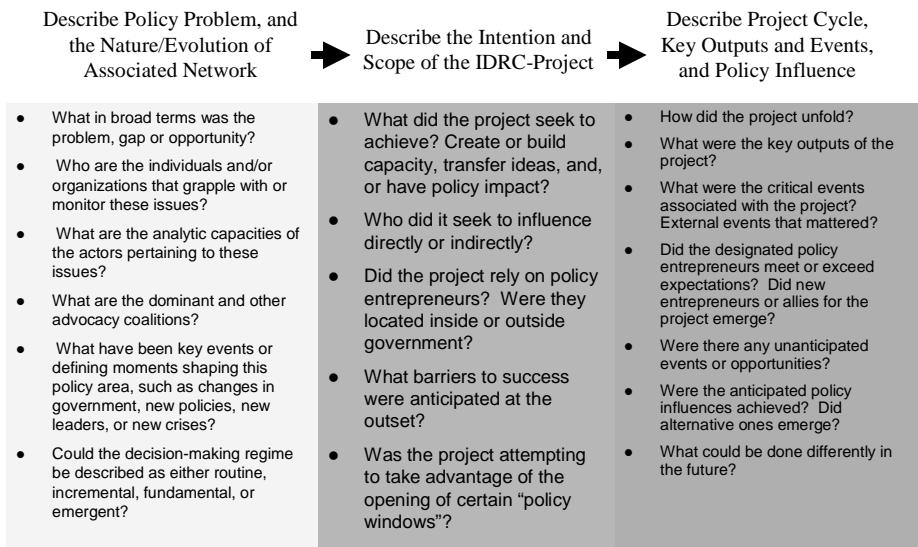
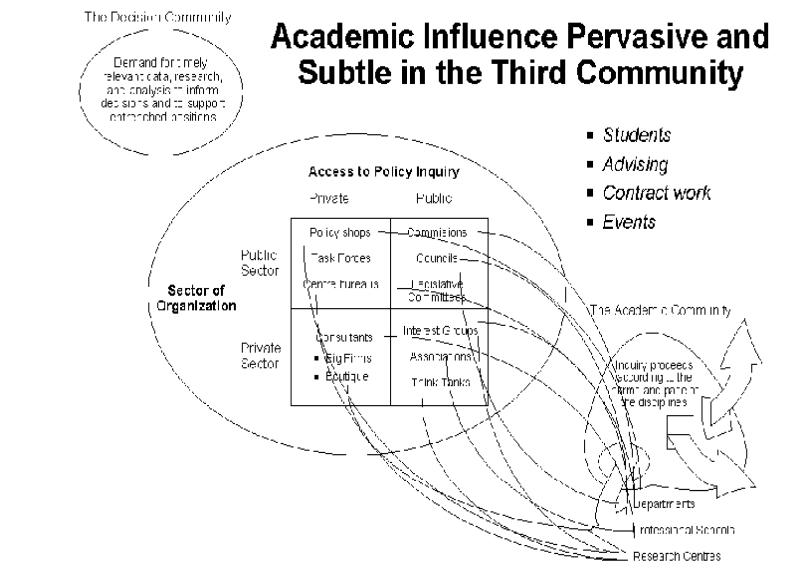


Chart 4

Academic Influence Pervasive and Subtle in the Third Community



Original Questions for Discussion...

- *What are the implications of these frameworks for understanding the nature of policy influence associated with IDRC-supported research projects?*
- *To what extent do these frameworks help to capture your experience with IDRC projects?*
- *How might these frameworks be adapted in order to make them more appropriate for understanding our work?*

Some Observations to Consider...

- Framework would benefit from logic modeling
 - Policy influence linked to output/outcomes distinction
 - Time horizons: short, medium, long term outcomes
- More explicit accounting of the evolution of policy networks and implied challenges
- Creating “professional forums” is more complicated: can proceed at several levels (policy, technical, etc.)
- Emphasize more fully the crucial role of leadership and policy entrepreneurship over time

Some Observations to Consider (2)...

- Explore more carefully the relationship between social science research, applied policy research, production of data, and policy advice
- Explore the well-known tensions when institutions are established to further the above objectives
- Probe role of IDRC in identifying projects, and in creating and supporting networks
- Fundamental matter: furthering “the policy sciences of democracy” in a development context

Thank you!

Ideas and comments are welcome....

evert@uvic.ca

Fred Carden

What does performance in these cases tell us about policy influence?

Fred Carden
Bangkok
13-14 January 2003

Performance

- Policy influence doesn't just happen with good research; it has to be planned for and the opportunities both created and seized.
- Look at cases for what they can tell us about the future
- A few ideas in a framework.

Performance framework

- Context
 - How have the cases dealt with their own and donor contexts?
- Motivation
 - What drives the main actors and organizations to successful policy influence?
- Capacities
 - What capacities enhance policy influence?

Context

- Projects
- IDRC
- 1. Seizing the moment
 - 1. IT Nepal
 - 2. Tobacco, MIMAP-P
- 1. Profile
 - 1. Donor influence: SRISTI
- 2. Linkages
 - 1. AFSSRN, MIMAP
- 2. Persistence
 - 1. AFSSRN, MIMAP

Motivation

- The receptivity of decision makers
 - Demand in the IT Nepal case, MIMAP-P, Tobacco Control
 - Advocacy in SRISTI, NWCF, VIKSAT – demand creation
- The commitment of researchers
 - Strong sense of value of research to change
 - Issue commitment & leadership
- The support of IDRC
 - Building local capacities in AFSSRN case
 - MIMAP-P and MIMAP-B

Motivation (2)

- Ownership
 - MIMAP Philippines, especially Palawan
 - Attempt to build ownership of modelling in MIMAP-B
- Advocacy research
 - ‘Building policy on a minority view is very hard work’ (D. Tussie, G-24 case)
 - NWCF: building civil society capacity to engage
 - Tobacco, commitments to control

Capacities

- Researchers
 - Training & capacity building were a key focus in many projects such as AFSSRN
 - Planning and focus are key (Tobacco)
 - IDRC played a catalytic role and an innovation role
 - Expanding the horizons of research (AFSSRN)
 - Learning how to interpret research to policy makers

Capacities (2)

- IDRC
 - Design capacities (linear designs in full knowledge of differing processes) are evolving
 - Follow up & persistence: AFSSRN, IT policy, CBNRM
 - Building a common language for talking about policy influence

Capacities (3)

- Cross cutting
 - Linkages: capacity to build and sustain linkages is highlighted in most cases (Tobacco, NWCF, etc.)
 - Quality – timeliness tensions
- Decision makers
 - Focus on building decision capacity is necessary in some cases

As Researchers, As Funders:

- Are there other factors or examples to consider?
- What are the three priorities to improve performance in the future?



How do we improve the policy credibility of what gets done?

Issues

- Receptor capacity
- Training the next generation
- Trade-off between quality of research & capacity building
- Turnover (decisionmakers, projects, IDRC)
- Increasing project robustness
- Supporting advocacy research
- Quiet dialogue – public marketing
- Conveying influence with anecdotal information

- Trade-off between quality of research & capacity building
- Training the next generation
- The Third community
- Supporting advocacy research
- Quiet dialogue – public marketing
- Receptor capacity

<ul style="list-style-type: none"> - Trade-off between quality of research & capacity building - Training the next generation - The Third community 	<ul style="list-style-type: none"> - Supporting advocacy research - Quiet dialogue – public marketing - Receptor capacity

- Turnover
(decisionmakers,
projects, IDRC)
- Increasing project
robustness
- Project strategies at the
outset
- Change in “fashion”, &
policy environment &
community
- Non-neutrality
 - Science
 - Knowledge
 - Donors