

# **Intent to Influence Policy in IDRC Programs and Projects**

What program and project level goals and say  
about IDRC's approach to influencing policy

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## ACRONYMS

AERC	African Economic Research Consortium
AGUILA	Latin American Regional Network for Urban Agriculture (from Spanish)
ATPS	African Technology Policy Secretariat
CBNRM	Community Based Natural Resource Management (Program Initiative)
CFP	Cities Feeding People (Program Initiative)
CSPF	Corporate Strategy and Program Framework
Ecohealth	Ecosystem Approaches to Human Health (Program Initiative)
EEPSEA	Economy and Environment Program for Southeast Asia (Secretariat)
EMS	Environnemental Management Secretariat
ENRM	Environment and Natural Resource Management (Program Area)
EQUINET	Network for Equity in Health in Southern Africa
ICT4D	Internet Communication Technologies for Development (Program Area)
IDRC	International Development Research Centre
ICA	Institute for Connectivity in the Americas (Corporate Project)
GEH	Governance Equity and Health (Program Initiative)
IMFNS	International Model Forest Network Secretariat
MIMAP	Micro Impacts of Macroeconomic and Adjustment Policies (Program Initiative)
OLISTICA	Observatory of Social Impacts of Information and Communication Technologies (ICTs) in Latin America and the Caribbean (Spanish)
PAN	Pan Asia Networking (Program Initiative)
PAR	Participatory Action Research
PBR	Peacebuilding and Reconstruction (Program Initiative)
PCR	Project Completion Report
PI	Program Initiative
PLaW	People Land and Water (Program Initiative)
RITC	Research for International Tobacco Control (Secretariat)
SADC	South African Development Community
SEE	Social and Economic Equity (Program Area)
SEL	Small Enterprise and Livelihoods Pilot Projects
SISERA	Secretariat for Institutional Support for Economic Research in Africa
SMC	Senior Management Committee
SMME	Small Medium and Micro Enterprises (Program Initiative)
SUB	Sustainable Use of Biodiversity (Program Initiative)
TEC	Trade Employment and Competitiveness (Program Initiative)
TIPS	Trade and Industrial Policy Secretariat



## EXECUTIVE SUMMARY

This review represents a part of the strategic evaluation undertaken by the IDRC Evaluation Unit into the influence of research on policy. The evaluation is driven by 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?
- (3) What factors and conditions have facilitated or inhibited the public policy influence potential of IDRC-supported research projects?

The strategic evaluation is comprised of three parts: (1) reviews of IDRC documentation to see what can be learned from the documentation that already exists about IDRC's approach to policy influence, (2) case studies about the policy influence of IDRC-supported projects from all regions; and (3) workshops in which IDRC staff and partners analyze and bring their experience to the findings generated in parts one and two.

This study is one of the five reviews of background documents, and complements the others by using program and project objectives to describe the dimensions of intent in IDRC programs, as well as the ways in which programs and projects seek to influence policies. This review looks at three different aspects of this intent:

1. *Program-level strategies*: The vision, missions, goals and objectives of all 32 programs from each of IDRC's three modalities of program delivery (Program Initiatives, Corporate Projects and Secretariats) were reviewed in order to characterize the approach that each takes to influencing policy.
2. *Dimensions of Policy Intent in Programs*: The abstracts and objectives of 122 research projects approved between April 2000 and July 2001 were obtained from EPIK, IDRC's central database. These were reviewed for references made to influence policy, and coded in order to describe intent at the program level across four dimensions: magnitude, intensity, level of policy targeted; and the region in which the work took place.
3. *The nature of the intent*: A qualitative review of the 85 research projects that expressed intentions of influencing policy was conducted in order to understand the ways in which projects attempt to influence policy.

The findings of this review are summarised below:

- 1. The corporate-level imperative to influence policy has refracted into many different approaches at the program and project levels.**

The review of program level goals illustrated that IDRC's corporate commitment to influencing policy is taken up in many different ways at the program level. Given how open to interpretation the terms "policy" and "influence" are, it is perhaps not surprising that these terms are applied to describe many different scenarios in which the goal is to get research used by decision-makers.

At the project level, there is further refraction and examining project objectives reveals a myriad of different directions and approaches to influencing policy, all expressed rather vaguely. The practical implication of the diversity of approaches, coupled with the vagueness in which they are described, creates a situation in which systematic comparison of those approaches is a challenge.

**2. The goal of influencing policy appears in the vast majority of programs, and represents a significant part of the programming goals of all program areas.**

Program and project level goals and objectives indicated significant effort from all program areas directed at influencing policy. It was necessary to look at both program-level objectives as well as aggregations of project-level data to come to this finding. Looking only at program-level goals tends to understate the significance of ENRM program area to the IDRC's overall thrust of influencing policy. ENRM programs are ostensibly more focused on influencing processes of stakeholder engagement and scaling up of research results than on influencing policy per se. The data tends to agree with this: only 59% of ENRM projects expressed intent to influence policy, compared to much higher frequencies of policy-focused projects in ICT4D (73%) and SEE (91%). But due to the greater numbers of ENRM projects, ENRM represented 31%, almost a third, of the total number of projects in the sample with intent to influence policy. Thus, it must be concluded that for the period of that projects represent (April 2000 and July 2001) ENRM represents a significant proportion of IDRC's thrust to influence policy.

**3. National Level Policy is the most frequently targeted level in both program and project level goals and objectives.**

This finding is consistent with those from both the Edwards (2001) and Adamo (2002) reviews. Programs varied in their likelihood to indicate particular kinds of policy, as well as the level of policy that they sought to influence. SEE programs were by far the most likely programs to indicate in their objectives that activities were aimed at specific policies or domains of policy, and these were most often directed at policies at the national level. ICT4D was second-most likely to indicate that efforts were directed at particular domains of policy, and among those, national was most prevalent. ENRM was least likely to address particular levels or domains of policy that they sought to address.

At the project level, this review found that national level policy is the most frequently targeted level of policy in project objectives. Once again, however, differences between program areas were noted with respect to the level of policy targeted. The greatest differences were again between SEE and ENRM. The majority of projects in the SEE program area expressed the intent to influence national policy (21 out of 26 projects), whereas in the ENRM program area, the policy intent was expressed with the highest frequencies at the national level (7 out of 24 projects) and the local/community level (8 out of 24 projects).

#### **4. Differences in regional focus to influence policies**

Overall, a clear majority of all the projects with intent to influence policy occurred in Africa (34%). Projects occurred next most frequently in Asia (19%) and Latin America and the Caribbean (19%). There were also hints of regional concentrations within program areas. Over half of ICT4D projects (52%) with intent to influence policy occurred in Africa. ENRM projects on the other hand occurred most frequently in Africa (30%) and Asia (30%). SEE projects occurred most frequently in Africa (29%), and Latin America and the Caribbean (29%).

#### **5. There are differing emphases on influencing policy processes and influencing policies themselves across programs and program areas.**

The goals and objectives of programs indicate differences in their approach to influence policy. ENRM programs are more likely to express their intentions of influencing policy in terms of influencing processes of engagement, and are often made in the context of promoting activities such as “multi-stakeholder” approaches to managing natural resources. SEE, by contrast is more likely express intentions of influencing domains of policy, such as trade, economic, health, or tobacco control policies. ICT4D presents a mix of both attempting to influence policies themselves (such as Acacia’s push to promote ICT policies in Africa), as well as use ICTs as a medium to facilitate engagement of broader constituencies of policy stakeholders (such as the work of the PAN Americas Corporate Project).

#### **6. There were six project modalities through which IDRC projects direct policy influence**

The qualitative review of 85 research projects found that there were six categories, or modalities, of projects through which policy influence planned. These were, in order of their greatest prevalence; investigative research (42 projects), capacity building (14 projects); networks (12 projects); action research (13 projects); evaluations (5 projects); and policy development/implementation projects (4 projects).

The differing emphasis across programming areas in terms of process-orientation vs. policy-orientation is reflected in the different modalities of research projects. Some modalities for policy

influence, such as *investigative research*, *capacity building*, *policy implementation*, *evaluation projects* implied more linear approaches to influencing policy than others. Others, such as *networks* and *action research* imply that within the project, there is continuous engagement of researchers with policy makers and/or policy processes. Influence does not appear to proceed in a stepwise fashion, and hence, does not as easily fit a linear sort of rationale.

Perhaps due to the differing emphases of programs on influencing policies vs. influencing processes, projects from particular programs were more likely to general particular modalities more than in others. SEE projects were disproportionately represented in the *investigative research* modality, of which the PBR PI contributed the majority of projects. In contrast, *policy development/Implementation* was a modality occupied only by projects developed by the Acacia PI. In a similar way, *action research* projects were produced for the most part by ENRM (particularly CBNRM) and ICT4D program areas.

**7. There are common strategies that projects draw from in their intentions to influence policy, but the specific rationales behind the how those strategies are not easily generalizable.**

Across the different modalities of research projects, it is observed that there are similar basic strategies to influence policy. Dominant strategies appear to be producing and disseminating high quality research, building the capacities of key individuals, and creating strategic linkages between researchers, policy makers and groups of policy stakeholders. Each project appears to employ these broad strategies according to unique kinds of rationale. There are a multitude of contextual factors such as; who the project partners are; the overall program and policy goals of the programming unit; what the project is referring to when it uses the word “policy” (e.g., national strategies, legislation, bureaucratic or organizational procedures); and the particular socio-economic and political contexts in which the project operates. Planning for policy influence clearly goes beyond simply producing the right amount of quality research combined with the right amount of capacity building. “Quality of research” means something different according to the particular use to which the research will be eventually put. Similarly, “Capacity Building” looks different depending on context factors such as well as practical considerations such as; whose capacities are being built, the level of capacity (individual, institutional, societal), and the types of capacities they are building.

**8. Project objectives do not present a vision of the policy processes that they seek to influence, nor do they address the way the research will be used to influence policies.**

Finally, one feature common to all of the objectives is that they do not present a clear vision of how research will be used in policy processes. This represents both a finding of the study, as



well as one of the methodological challenges to doing the review. Given that a great number of projects and programs intended to influence processes through engaging different policy stakeholders, this lack of understanding about how this occurs appears as a missing link in the strategy provided by many projects and programs. Furthermore, the goals and objectives of projects and programs appear to be premised on unstated assumptions, both about how a) policy processes operate, as well as b) how research can and will articulate with those processes. In many cases, particularly in projects that fell into the investigative research category, the assumption appears to be of a rational, linear policy processes, into which research can straightforwardly fit. In other cases, it is not at all clear how the project sees the relationship between research and policy.

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## 1. INTRODUCTION

Supporting research that influences policy is a central developmental goal identified in IDRC's current Corporate Strategy and Program Framework (CSPF), and this goal has been taken up within IDRC programs and projects. Although there are many diverse ways in which IDRC supports research to influence policy, the ways that this research actually contributes to policy change are not fully understood. To address this gap, the Centre's Evaluation Unit is undertaking a strategic evaluation that will examine three main 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. It is anticipated that answering these questions will help the Centre gain a deeper understanding of how the research it supports contributes to public policy processes, and will serve two purposes: (1) to provide learning at the program level which can enhance the design of projects and programs to increase policy influence where that is a key objective; and (2) to create an opportunity for corporate level learning which will provide input into strategic planning processes as well as feedback on performance.

This review provides the strategic evaluation with information about the ways in which IDRC's expressed corporate commitment to influencing policy is articulated in program and project-level planning documents. It attempts to describe IDRC's intent to policy influence in three ways:

1. *Program-level strategies*: The prospectuses of all 32 programs from each of IDRC modalities (Program Initiatives, Corporate Projects, and Secretariats) were reviewed for the ways that they express their intent to influence policy.
2. *Dimensions of Policy Intent in Programs*: the objectives of 122 research projects approved between April 2000 and July 2001 were analyzed for, i) whether or not they included an intent to influence policy, ii) the region that they take place in, iii) and the level of policy that they address. Taken together, this number as well as dollar value of these projects indicates broad dimensions of policy influence within each of IDRC's the three program areas, and provides another basis for comparing the programming areas in terms of their intent to influence policy.
3. *The nature of the intent*: by analyzing the objectives of the 85 research projects that included intent to influence policy amongst their objectives, 6 modalities of policy influence are identified.

This review draws on three kinds of IDRC documentation:

1. The current objectives from each of the 32 programs from the three program modalities (Program Initiatives (PIs), Corporate Projects, and Secretariats). For each of the PIs, this

- is found in its current prospectus. For the Secretariats and Corporate Projects, statements of visions, missions, goals and objectives were found on their websites. All of these are included in Annex I.
2. The abstracts and objectives from 122 research projects approved between the period of April 2000 and July 2001. Reports for these projects were generated by EPIC, and included project abstracts as well as their goals and objectives.
  3. Related studies conducted by IDRC, which provided useful concepts and definitions to help organize the data and understand the ways in which projects express their intention to influence policy.

The report analyses the intent to influence presents program-level and the project level separately. Section II presents the way that policy influence is articulated at the program level, as it is expressed in program level planning documents. Section III looks again at intent at the program level, but instead uses project objectives to answer question two above. Sections IV looks more closely at the ways in which projects express their intent to influence policy. Section V reviews finding from all four sections, synthesizes them, and points to further questions.

Other background documents include;

- Stephanie Neilson's (2001) review of the literature for models of policy influence<sup>1</sup>;
- Kimberly Edwards (2001)<sup>2</sup> review of what PCRs could reveal about policy influence of IDRC projects;
- Abra Adamo's (2002)<sup>3</sup> in-depth review of 16 evaluation reports received by the Evaluation Unit during 2001-02.
- Stephen Baranyi and Tahira Gonsalves' review of IDRC documentation to track the shifting policy intent of the organization over the years.

Where appropriate, consistencies and convergences between this study and the others are noted. It is anticipated that the findings contained within this report will also provide useful comparisons to those emerging from the case studies. This report provides indication of the extent to which the intent to influence policy has permeated throughout the Centre's programming, and provides a descriptive account of the ways in which that intent is expressed.

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<sup>1</sup> *IDRC-Supported Research and its Influence on Public Policy. Knowledge Utilization and Public Policy Processes: A Literature Review*, by Stephanie Neilson, December 2001

<sup>2</sup> *Strategic Evaluation of Policy Influence: What Evaluation Reports Tell Us About Public policy Influence by IDRC-Supported Research*, by Abra Adamo, April 30, 2002.

<sup>3</sup> *PCRs and Policy Influence: What Project Completion Reports Have to Say about Public Policy Influence by Centre Supported Research*, by Kimberly Edward, August 15, 2001

## 2. METHODOLOGY

This examination of IDRC's intent to influence policy was conducted with a mixture of quantitative and qualitative approaches, and looked at three different things. The first was to examine how that intent is expressed at the program level. This involved the examination of the vision, mission, goals and/or objectives in each of the 32 programs, housed within the IDRC's three different modalities of program delivery (i.e., Program Initiatives, Corporate Projects and Secretariats). The second was to aggregate data from 122 projects to the program area level, in order to compare the programming areas across four dimensions: geographical focus, the level of policy targeted, the intensity of policy focus, as well as the sheer magnitude of policy intent evident in the programming areas. The third way that intent to influence policy is examined is through a close analysis of 85 to examine how they expressed their intent to influence policy

### 2.1 Expressions of Intent in Program-level planning documents

The first step in the analysis took a qualitative approach, and sought to identify the different ways in which the 32 different programming units (PIs, Corporate Projects and Secretariats) expressed their intent to influence policy in their vision, mission, goals and/or objectives. The programs are those listed on the intranet site of the Program and Partnership website.

### 2.2 Comparing Dimensions of Policy Intent across Program Areas

Individual projects were coded according to four criteria (those listed below), which provided a way to compare program areas across four dimensions.

*i. Magnitude:* The dollar-value of projects with intent to influence policy provides a rough indication of the expenditure that IDRC programming units are committing to influencing public policy in its research projects.

*ii. Intensity:* Within a programming unit, the proportion of projects including the intent to influence policy amongst their objectives compared to those that do not provides an indication of the intensity of policy intent in that particular program.

*iii. Regional focus:* The relative frequency of projects with intent across different regions indicates differences in the regionality of IDRC's intent to influence policy.

*iv. Policy levels:* The relative prevalence of projects with intent to influence policy at the local/community, state/provincial, national, and international level illustrates the predominant policy levels that IDRC projects target.

With respect to the analysis of the policy-level, the use of four levels of policy used in this study diverges slightly from the approach taken in either Edwards' (2001) or Adamo's (2002) reviews, both of which used 5 levels of policy. Both of these reports included a fifth "regional" level amongst the same four levels used in this review. Edwards and Adamo used the term "regional" level differently: for Edwards, the regional level exists between the national and state/provincial levels; whereas for Adamo, the regional level is between the national and international levels. In this review, it was decided to drop "regional" level and go with four levels for two reasons; 1) no projects addressed a level of policy below the national level that could not be coded as either state/provincial or local/community, and 2) it was felt that coding for a regional level above the national level was a more precise analytical distinction than could be usefully applied to project objectives, and its introduction would introduce more ambiguities than was helpful. As such, projects that targeted policies above the national level were therefore simply coded as "international".

Related to the issue stated above, two concerns arise as a limitation of using project objectives to generate data about intent to influence policy. The first is stated throughout this report, and concerns the general issue about the reliability of project objectives, many of which are rather vague in describing their intent to influence policy, to generate precise data about IDRC intent to influence policy at project and hence program level. The second concern extends from the first and is more specific, and concerns challenges in measuring the most prevalent levels of policy influence. Ambiguities in project objectives indicated that multiple levels of policy are often implied even when they are not explicitly stated. This is particularly evident where projects attempt to influence policy at an international level (e.g. research to influence the development of bilateral or multilateral policy). The very nature of such attempts often implies, and in many cases seems to depend upon, corresponding changes to national policies. This review does not attempt to sort out such ambiguities by interpreting or trying to extend from what might be reasonably implied in project objectives. Only explicit statements about level of intent were considered. The practical implication of this is that this analysis will tend to underestimate the number of projects with policy influence at multiple levels, and at least in the case of projects that stated an intent to influence international policies, the analysis will underestimate the intent to influence policy at the national level.

### **2.3 Expressions of Intent in Project Objectives**

The diversity of ways in which IDRC-supported research projects attempt to influence policy is particularly evident in their abstracts and objectives. In many cases, comparing one project to another is an apples-and-oranges exercise. In part, this diversity is due to the great variety of partners with whom IDRC works and the variety of contexts in which projects take place. Another

factor is the tremendous breadth with which the term “policy influence” can be interpreted, and the lack of sufficient description given to the ways in which this is attempted. Eva Rathgeber (2001), in her examination of 30 years of IDRC’s history through the lens of a representative sample of PCRs, made a similar observation.

*[D]ifferent staff have had different working definitions of the concept. The words “policy” and “policymakers” have been loosely used over the years to imply among other things, legislative changes, changes in management style, changes in allocation of resources, changes in bureaucratic behaviour, etc. The only common factor seems to have been the perceived need for some kind of change (i.e. adoption of research results.)<sup>4</sup>*

The combined effect of 1) diversity of projects, and 2) diversity of views among program staff makes systematic comparison of all projects a challenge.

### *Modalities of Policy Influence*

As a preliminary step to analyzing the ways in which research projects intend to influence public policy, it was necessary to divide the projects into smaller groups that could be more easily compared to one another. Towards this purpose, six categories by which the objectives of the 85 projects expressed their policy influence were identified. These categories, hereafter called *modalities*, represent overarching rationales by which the intention to influence public policy is expressed by projects. These are based on; 1) the sorts policy-relevant outputs that the project intends to produce and; 2) the ways in which actors and interactions between the actors within projects appear to be organized and structured. The six modalities are:

1. *Investigative Research*: This is the most common and familiar type of research project, in which a team of researchers and/or a research institution is supported to produce a piece of research, often using traditional research methods, that investigates a topic of policy relevance. Its influence on policy tends to be primarily attributable to the content and quality of the research outputs.
2. *Capacity Building*: These are projects that express their intention to influence policy are not primarily through the creation of new knowledge, but instead use research as a vehicle to increase the capacity of targeted groups of policy stakeholders.
3. *Networks*: The rationale of these projects is primarily to pull together a range of different viewpoints, or to convene a critical mass of expertise around a particular problem or set of problems. Policy influence is generally attributed to a mixture of factors including; the quantity of directly relevant research that the network can produce; the mass targeted dissemination that is possible through networks; capacities that are built; and the membership of the network.
4. *Action Research*: This is a type of research project in which the production of generalizable knowledge is a by-product of the primary aim, which is to generate

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<sup>4</sup> *Turning Failure into Success: The Deconstruction of IDRC Development Discourse 1970-2000*. Eva Rathgeber, September 2001:55.



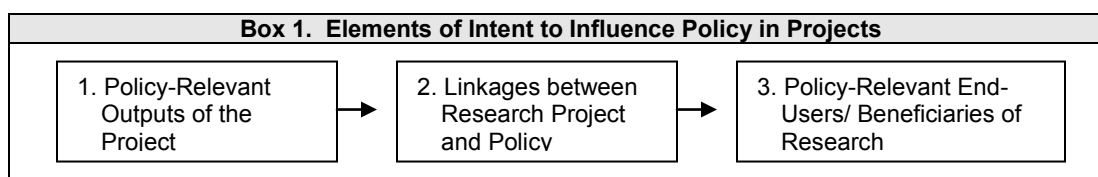
knowledge that will help solve a concrete problem in a particular context. “The objective of the research is the outcomes themselves rather than the knowledge of how to achieve them” (Reimers and McGinn, 1997, quoted in Neilson, 2001:12). As such, the intended influence of these projects on public policy is secondary.

5. *Policy Development/Implementation Projects*: This is the most direct kind of policy influence, in which a project is responsible for assisting or carrying out the development and/or implementation of policies. In terms of their design, they often bear a resemblance to market research, involving environmental scans and consultations with policy stakeholders.
6. *Evaluations*: These are projects whose purpose was to evaluate or assess a program, organization, or sector, and whose recommendations were prescient to policy questions.

The projects were grouped according to modality to which they primarily corresponded. For the sake of completeness, two additional categories were created to accommodate projects that either fit into several of these modalities (called *hybrids*), or fit into none of them (simply called *other*).

### Analyzing Modalities

Once projects were grouped into the different modalities, they were analyzed and compared according to the ways in which they expressed the intention of influencing policy. Towards this purpose, this analysis began with a conceptualization of intent to influence policy in a project as being comprised of three principal elements: 1) the policy-relevant outputs of the project, 2) the linkages of the research project to policy processes, and 3) the policy-relevant end-users/beneficiaries of the project outputs.



These elements suggest a rudimentary framework, or rubric through which the intent to influence policy in a project can be thought (see Box 1). This is useful for two reasons:

1. Project objectives tend to be rather cursory in their descriptions of how they intend to influence policy, and so it is necessary to come up with a framework simplistic enough that most projects can be interpreted through it.
2. These three elements are broad enough to accommodate wide-ranging descriptions of research projects intending influencing policy.

A limitation of the framework is that it begins with a rather linear approach to conceptualizing policy influence. As it turns out, for most projects the framework appears to be appropriate,

particularly for projects that were categorized as *investigative research* projects and *capacity building* projects. These projects appear to have been designed with a linear approach in mind, and could easily be scanned for what they said about these components of policy influence and the results are presented with direct reference to these components. Research projects from other modalities, such as networks and action research, did not easily permit presentation in this way. Influence in these projects seems to be sought interactively throughout the project. In such cases, modalities are presented in more ways more appropriate to the rationales that they represent.

#### *Weaknesses of this approach*

The main limitation of this approach is that the analyses cannot be viewed as representative of the predominant strategies with which IDRC research projects intend to influence policy. Rather, modalities are representative of the predominant rationales that project objectives advance to *describe* their overall approach to influence policy. The distinction is critical and is a direct result of the vagueness of project objectives. In conceptual terms, modalities do not represent mutually exclusive categories with respect to specific ways that projects intend to influence policy; rather they represent predominant ways that projects describe their intent to influence policy. In practical terms, this means that this study can only claim to be accurate in so far as it describes descriptions, and cannot claim to be representative of the ways in which actors within projects actually organize, plan, and implement strategies to influence public policy.

#### *Strengths of this approach*

The strengths of this approach are precisely in that it identifies the ways in which IDRC projects *express* their intent to influence policy. This is useful in three ways:

1. This approach highlights the general lack of clarity in project objectives with regard to their intentions of influencing policy, and points to the need for greater sophistication and precision with which terms and concepts are used to communicate strategies for influencing policy.
2. This review describes the pre-eminent rationales that appear to underlie those strategies – each of which appears to be influenced by particular considerations of program, political and geographical context, and each of which for evaluative purposes should be considered on their own merits.
3. Lastly, it is anticipated that these findings will provide a useful counterpoint to the case studies. This comparison will indicate the dimensions of the gap between how on one hand IDRC research projects express their intentions to influence policy in project objectives, and on the other hand how projects actually organize, plan, and implement those strategies as well as how those intentions do or do not actually translate into influence.

### 3. PROGRAM-LEVEL INTENT TO INFLUENCE POLICY<sup>5</sup>

This chapter presents the results of a review of the goal statements (which included “vision”, “mission”, “goals” and “objectives”) of the 32 program units under each of IDRC’s three modalities of program delivery (Program Initiatives, Corporate Projects and Secretariats). These statements are found in each published prospectus of Program Initiatives, and on the websites of the Secretariats and Corporate Projects.

#### 3.1 Overview

It was found that program areas are separable according to the degree to which they focus on influencing processes of policy engagement, and whether or not those processes are brought to bear on particular policies or domains of policy. Whether or not a program focused on influencing processes or particular domains of policy also affected the likelihood that the program would specify the level of policy (international, national, state/ national/ district, or local) that was targeted.

##### *Emphasis on Policies and Policy Processes in IDRC Programs*

Intentions of influencing policy are expressed in programs through two different sorts of statements: those that are policy-oriented, and those that are process-oriented. To illustrate the distinction between policy-oriented and process-oriented statements, Box 2 presents specific examples of the two different kinds. *Policy-oriented* statements are those that indicate intentions of influencing particular policies (e.g. ICT policy in the case of Acacia) or domains of policy (domestic economic and international trade policies in the case of TEC). *Process-oriented* statements are those in which references to influencing policy are made within a broader aim of promoting processes of engagement between governments, communities and/or other organizations around particular development themes. Process-oriented statements tend not to make specific reference to influencing policy themselves.

While the great majority of IDRC’s programs indicate significant attention to supporting interactive processes, differences between program areas are discernible in the degree to which they are also *policy-oriented*. Among the three program areas, the objectives of SEE programs are most likely to incorporate *policy-oriented* statements, whereas statements of policy-intent in ENRM programs tend to be more *process-oriented*, and are made within the context of promoting collaborative approaches to managing natural resources. ICT4D programs exhibit both process-oriented and

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<sup>5</sup>For all program statements of vision, mission, goals and objectives, refer to Annex I.

Box 2. Examples of process and policy oriented objective statements
<p><b>Examples of policy-oriented objectives</b></p> <ol style="list-style-type: none"> <li>1. <i>Acacia – Specific Objective</i>  “To improve African countries’ capacities to formulate and implement national ICT policies that promote equitable access to ICTs and information for socio-economic development”.</li> <li>2. <i>RITC – Mission statement</i>  “RITC’s mission is to create a strong research, funding and knowledge base for the development of effective tobacco control policies and programs that will minimize the threat of tobacco production and consumption to health and human development in developing countries”</li> <li>3. <i>TEC – Specific Objective</i>  “Assist developing countries to promote coherence between their domestic economic policies and their international trade policies”.</li> </ol> <p><b>Examples of process-oriented objectives</b></p> <ol style="list-style-type: none"> <li>1. <i>CBNRM – Specific Objective</i>  “Develop new mechanisms and processes for resource planning, access to information, co-management and policy interaction between local communities and various levels of government”.</li> <li>2. <i>PBR – Specific Objective</i>  “To contribute to research capacity building, policy development and institutional arrangements that support transitions from violent conflict to peace and sustainable development at the local, national, regional or international levels”</li> </ol>

policy-oriented statements within their objectives. The process-orientation in ICT4D programs is most evident in that they all promote ICTs (both internet as well as other kinds of communication media) as a kind a vehicle through which processes of policy dialogue and engagement between policy actors (i.e. government, researchers, and civil society) can occur. Two of the five ICT4D programs (Acacia and PAN) exhibit policy orientation as well. This is particularly strong in Acacia, whose objectives include the creation of national ICT policies in southern, western and eastern Africa.

#### *Levels of Policy Targeted in IDRC Programs*

Box 2 illustrates the levels of public policy targeted by the individual IDRC programs, as indicated in their vision, mission, goals, or objectives. It is perhaps not surprising that programs whose objectives were primarily process-oriented were also the least likely to specify the level(s) of policy targeted. SEE programs were much more likely than the other two programming areas to indicate the level of policy targeted. Among the programs that did specify the level of public policy targeted, national level policies were the most frequently mentioned, both on its own (n=7) as well as in combination other levels of public policy (n=6). Only one program (CFP) indicated influencing only local policies, and only one program expressed intent to influence public policies at all levels (PBR).

Box 3. Policy Levels targeted by IDRC programs						
International						Unspecified
National	RITC TIPS IIDEA SEL ATPS CIES Acacia	MIMAP TEC EEPSEA	TEHIP		PlaW GEH	PBR AERC SISERA CBNRM SUB MINGA ECOHEALTH SUB CGIAR OCEEI INBAR MPRI Ecoplata EMS IMFNS PAN ICA Pan Americas
State/ Province/ District						
Local				CFP	PLaW GEH	

### 3.2 Social and Economic Equity (SEE)

The goals and objectives of all 14 SEE programming units (including PIs, Corporate Projects and Secretariats) demonstrate a central concern with influencing public policy. Ten SEE programming units have themes that closely correspond to policy sectors, and four are more general in their policy intent. The policy intent in PBR is most general, in that many different policy domains are addressed to help support the transitions necessary to rebuild war-torn countries. The policy intent is considered to be general in CIES, SISERA, and AERC in that their central focus is on building indigenous research capacities in economics and social sciences, as well as in management of research in order to make research more relevant and available to policy makers.

#### *Prevalence of Policy Domains*

Among the SEE programming units, economic policies are the focus of four SEE program units (MIMAP, TEC, TIPS, SEL). Two program units target health policies in their thematic focus (TEHIP and GEH). RITC seeks to influence developing countries' policies for tobacco control. SEL looks at policies for small enterprise development; (ATPS) takes science and technology policies in sub-Saharan Africa as its focus, and (IIDEA) democratic governance for emerging democratic states.

The four remaining programs (PBR, CIES, SISERA, AERC) are different from the ten discussed above in that they do not indicate the range of policies that they seek to influence. PBR has a generalized policy orientation, focusing on policies that are instrumental to issues corresponding to the central theme of the PI (transition to peace) and implicating a wide range of policies. CIES, SISERA and AERC are outliers in that they are not policy oriented. CIES is process-oriented, in that it represents a consortium of 30 social research organizations in Peru, which through joint activities are seeking to elevate the profile and importance of social research in Peruvian policy

making. SISERA and AERC do not focus on policies per se, but are rather sites for the building of capacities for economic and policy research (both in research and in research management) in Africa.

<b>Box 4. Summary of policy issues and levels of policy addressed by 14 SEE programming units</b>		
<b>Unit</b>	<b>Policy issues addressed</b>	<b>Targeted level of policy</b>
<b>Program Initiatives</b>		
MIMAP	<i>Economic</i> - Local impacts of macroeconomic policies	National, International
TEC	<i>Economic</i> - National and international trade policies	National, International
GEH	<i>Health</i> – Equity of provision	Local, National
PBR	<i>General</i> – support for a wide range of policies that will help in the transition to peace	Local, National, International (Africa, Latin America)
<b>Corporate Projects</b>		
TEHIP	<i>Health</i> - Decentralized delivery of interventions	National, District
IIDEA	<i>Democratic governance</i>	National
SEL	<i>Economic</i> – Small Enterprise Development	National
<b>Secretariats</b>		
RITC	<i>Tobacco control</i>	National
TIPS	<i>Economic</i> – Trade, Industrial and Regulation policy	National
EEPSEA	<i>Environment</i> - Economics and Development	National, International
ATPS	<i>Science and Technology Policies</i>	National (Sub-Saharan Africa)
<b>Not policy-oriented</b>		
CIES	<i>Process-oriented</i>	National
AERC	<i>Building research capacities for economic research and policy analyses</i>	Unspecified (Africa)
SISERA	<i>Building research capacities for economic research and policy analysis</i>	Unspecified (Africa)

#### *Level of Policy*

With the exception of AERC and SISERA, all SEE programming units express intentions of influencing national level policies. Program objectives also frequently connect this need for influence at the national policy level to address development needs at more local levels. Exceptions to this are; the TEC PI, which aims at supporting research and activities that will promote greater coherence between national and international policies; SISERA and AERC whose more general thrust is to increase capacities for social and economic research; and (CIES), which seeks to enhance dialogue both between research organizations, as well as across research and policy domains

### **3.3 Environment and Natural Resource Management (ENRM)**

In general, the objectives of the programming units of the ENRM program area are more *process-oriented* in their policy intent than are the SEE programming units. With the exception of SUB, CFP, PLaW and Ecohealth, ENRM program units put primary focus on their support for local-level

natural resource management. All ENRM programs seek policy influence by conducting research and supporting participatory processes through which different levels of policy can become engaged with community-level use of natural resources.

SUB is different from most of the ENRM PIs in that it does address specific policy domains. In this case it has to do with local and indigenous rights to managing natural resources in the

<b>Box 5. Summary of ENRM Programs and their Policy/ Process Orientation, and the levels of policy that they target</b>		
<b>Unit</b>	<b>Policy/ Process Orientation</b>	<b>Level of policy</b>
<b>Program Initiatives</b>		
CBNRM	<i>Process-oriented: “develop new mechanisms for resource planning, information sharing, co-management and policy interaction”</i>	“Various”
PLaW	<i>Policy-oriented (Although the objectives mention that they seek to “contribute to local and national policies and institutional arrangements” the policy domains are not made clear)</i>	Local and National
MINGA	<i>Process-oriented: generate and promote multi-stakeholder approaches to natural resource management.</i>	None specified
CFP	<i>Policy-oriented: support creation of policies and programs that include urban agriculture for the benefit of the urban poor</i>	Local/ municipal
ECO-HEALTH	<i>Research-oriented: elaboration of the eco-system approaches to human health, and the promotion of these frameworks to policy.</i>	None specified
SUB	<i>Policy-oriented: use of intellectual property regimes to establish local and indigenous rights to genetic resources</i>	None specified
<b>Corporate Projects</b>		
CGIAR	<i>Policy-oriented: people-centred policies for sustainable development.</i>	None Specified
OCEEI	<i>Process-oriented: “To support the process of reforms”</i>	None Specified
INBAR	<i>No objectives presented</i>	None Specified
MPRI	<i>Process-oriented: place emphasis on “multi-stakeholder processes” for improving participatory management of mining impacts at the national level</i>	None Specified
Ecoplata	<i>Process-oriented seeks to influence policy through the development of proposals for coastal management with the participation of governmental agencies that are responsible for environmental management.</i>	None Specified
<b>Secretariats</b>		
EMS	<i>Process-oriented: to assess and employ the capacities of research centres in the LAC region to improve the decision-making processes and the implementation of environmental management policies.</i>	None Specified
IMFNS	<i>Process-oriented focus on “fostering” and “facilitating” international cooperation in developing sustainable forest management practices through such activities as mobilizing civil society, and creating partnerships between communities, individuals, industry and government.</i>	None specified

context of “intellectual property regimes”. The objectives do not, however, indicate if it seeks to influence these regimes. CFP is also exceptional to ENRM in that it attempts to influence municipal policies and policy makers to include urban agriculture in development programs. PLaW indicates that it seeks to influence policies themselves in its stated objective that it will “contribute to local and national policies and institutional arrangements that, by managing intrinsic conflicts, equitably increase access, availability, quality and productive utilization of land and water resources”, however it does not indicate the policies or range of policies that will be subject to this influence. Ecohealth, as indicated in its objectives, has the least policy focus in its objectives and is better described as being primarily *research-oriented*. The objectives of the Ecohealth PI indicate that its primary focus is on elaborating research frameworks to establish linkages between environmental degradation and negative health effects, which later can be brought to the attention of policy makers.

#### *Level of Policy*

In general, ENRM program units are less likely than those in the SEE programming area to indicate the level of policy they are seeking to address. All are interested in community-level management of natural resources, and the explicit focus of several of the programming units are “multi-stakeholder approaches to management”. It can be inferred that many of these programs are interested in influencing policies at multiple levels of governance (international, national, district, local, as well as organizational policies) in order to bring the differing priorities into dialogue with one another, around issues relating to shared use of natural resources.

### **3.4 Information and Communication Technologies for Development (ICT4D)**

The five program units of the ICT4D program area are involved in research to support the diffusion of electronically mediated communication in developing countries, and specifically, support research to investigate ways that these media can be used to the advantage of poor and disadvantaged groups. Thus all of the program units of ICT4D are fundamentally process-oriented, however some of the program units also include among their objectives specific goals to influence policies themselves.

Acacia is to be considered policy oriented in that they both state intentions of influencing national ICT policies. Acacia states that it seeks to help in the creation and implementation of such policies, whereas the language of PAN’s objectives suggests that through the promotion of use of ICTs in sectors such as health, education and employment, it hopes to encourage countries’ creation of ICT policies (although the language implies that national level is targeted, it is not stated, and hence the level of intended influence is determined to be “unspecified”).



PAN Americas, ICA and Bellanet are more straightforwardly process-oriented. PAN Americas supports research into how internet policy issues (such as information, communication and telecommunications policies) are interrelated with other policy issues (such as health and education). The corporate project's intent to influence appears to be directed at a wide range of potential policies, but it is not so much the policies themselves that are targeted, but rather more about using ICTs as a vehicle for citizens to bring their perspectives to bear on many policy issues.

ICA does not mention policy in its mission and mandate, but its mission suggests that it should also be considered *process oriented*. It states that ICA seeks to connect people through both traditional and digital technologies to “strengthen democracy, create prosperity, and help the region realize its human potential”.

Bellanet is similarly process oriented, in that it sees itself primarily as a facilitator, having a mandate “to provide Internet based technical services and advice to development-oriented institutions to facilitate collaborative work and the achievement of their objectives”. Thus, Bellanet itself does not express an intentions of its own to influencing public policy, however by helping to build the communicative capacity of its partners, Bellanet could become actively engaged in such efforts by supporting its clients to achieve such goals

<b>Box 6. Summary of policy issues and levels of policy addressed by 14 SEE programming units</b>		
<b>Unit</b>	<b>Policy/Process issues addressed</b>	<b>Targeted level of policy</b>
<b>Program Initiatives</b>		
Acacia	<i>Policy-oriented:</i> Promote the development and implementation of pro-poor ICT policies in West, East and Southern African countries.	National
PAN	<i>Process-oriented:</i> To encourage the spread of ICTs through key sectors such as health, education, and employment at the community level, and to encourage governments in creating ICT policies so that improved connectivity can improve access of services to the poor.	Not specified
<b>Corporate Projects</b>		
PAN Americas	<i>Process oriented:</i> To encourage the use of ICTs as advocacy tools to strengthen citizens involvement in policy-making processes.	Not specified
ICA	<i>Process-oriented:</i> seeks greater connectivity to support the building of democratic processes, prosperity, and human potential in the Americas.	Not specified
<b>Secretariats</b>		
Bellanet	<i>Process-oriented:</i> provides internet-based services to development-oriented organizations to facilitate collaborative work.	Not specified

#### 4. USING PROJECT OBJECTIVES TO DETERMINE DIMENSIONS OF PROGRAM-LEVEL INTENT

In addition to reviewing program level goals, the objectives from 122 research projects approved between April 2000 and July 2001 were reviewed for their intent to influence policy. Project objectives are a useful data source for examining differences between program areas in that they provide more contextualized of how policy influence is approached on a case-by-case basis. They also contain data that, in the aggregate, can be used to create a profile the broad dimensions of intent to influence policy within programming areas and the geographical regions in which IDRC projects are conducted.

##### 4.1 Magnitude and Intensity of Policy Focus across Program Areas, as represented by research projects

<b>Table 1. Frequency Projects with and Without Intent to Influence Policy, by Program Area</b>					
<b>Program Area</b>	<b>Total Number of Projects</b>	<b>Without Intent</b>		<b>With Intent</b>	
		<b>#</b>	<b>%</b>	<b>#</b>	<b>%</b>
<b>TOTAL</b>	<b>122</b>	<b>37</b>	<b>30</b>	<b>85</b>	<b>70</b>
1. ENRM	46	19	41	27	59
2. SEE	34	3	9	31	91
3. ICT4D	26	7	27	19	73
4. Other <sup>6</sup>	16	8	50	8	50

Tables 1 and 2 illustrate the number (Table 1) and the dollar-values (Table 2) of the 122 projects, according to the program from which they originated. These figures illustrate two things; the first is that the majority of IDRC's research projects approved between April 2000 and July 2001 expressed the intention to influence policy. The second is that there are differences

between program areas in terms of the magnitude of policy intent (number of projects and dollars spent on projects with policy influence), as well as in the intensity of intent within the program (expressed as the proportion of total projects and dollars spent on projects with intent to influence policy).

<b>Table 2. Dollar-Value (CAD) of Projects with intent to Influence Policy</b>					
<b>Program Area</b>	<b>Total</b>	<b>Without Intent</b>		<b>With Intent</b>	
		<b>Dollar Value</b>	<b>% Expenditure</b>	<b>Dollar Value</b>	<b>% Expenditure</b>
<b>TOTAL</b>	<b>\$31,398,137.00</b>	<b>\$9,315,299.00</b>	<b>29.7</b>	<b>\$22,082,838.00</b>	<b>70.3</b>
1. ENRM	\$13,018,849.00	\$5,808,419.00	44.6	\$7,210,430.00	55.4
2. SEE	\$8,770,173.00	\$546,500.00	6.2	\$8,223,673.00	93.8
3. ICT4D	\$5,675,859.00	\$1,230,380.00	21.7	\$4,445,479.00	78.3
4. Other	\$3,933,256.00	\$1,730,000.00	44.0	\$2,203,256.00	56.0

<sup>6</sup> "Other" consists of projects that could not be associated with a particular program area, and are listed in IDRIS either as "special" or "corporate" projects.

Table 1 shows that a clear majority of research projects - 85 of the 122 (70%) - included the intent to influence policy among their objectives. Table 2 shows that those 85 projects represent an expenditure of \$22.1M, or 70.3% of the total dollar value of all research projects approved between April 2000 and July 2001.

These tables also indicate differences between program areas with respect to the magnitude and intensity of policy-intent in their programming. The most dramatic differences are apparent between SEE and ENRM program areas. Although SEE did not have the greatest overall number of projects, it did represent the greatest *magnitude* of policy intent of all program areas, in that it had both the greatest absolute number of projects (31 projects – see Table 1) and spent the most money on projects with intent to influence policy (\$8.2M – see Table 2). As a program area, SEE also exhibited the greatest *intensity* of policy intent, in that projects that included the intent to influence policy represented 91% of the total number of SEE projects, and 93.8% of its expenditures on research projects. In contrast, even though ENRM had the overall highest number of projects, 59% of these expressed intent to influence policy (see Table 1), representing \$7.2M (see Table 2), or 55.4% its total expenditure on research projects. Thus even though ENRM spent only slightly less than SEE on projects intending to influence policy, as a program area it exhibits much less overall intensity in its intent to influencing policy.

## 4.2 Regional Focus

Table 3 presents the dollar-values of projects with intent to influence policy in the different regions. It illustrates relative differences in the magnitude of IDRC intent to influence policy in those regions, as represented by the sampled research projects. It shows a clear majority of projects with intent to influence policy occurring in Africa, with 34% of the total number, and 35% of the total expenditure on research projects with intent to influence policy occurring in this region.

Table 3. Intent to Influence Policy across Regions				
Region	Number of Projects		Dollar Value	
	#	% Total	\$	% Total
<b>TOTAL</b>	<b>85</b>	<b>100</b>	<b>\$22,082,838.00</b>	<b>100</b>
1. Africa	29	34	\$7,640,420.00	35.0
2. Asia	19	22	\$4,451,803.00	20.2
3. Latin America & the Caribbean	19	22	\$3,976,100.00	18.0
4. Global	9	11	\$3,469,150.00	15.7
5. Middle East	7	8	\$1,625,165.00	7.4
6. Cross-Region <sup>7</sup>	2	2	\$920,200.00	4.2

<sup>7</sup> These two projects include the Middle East and North Africa project (#100067), and the Canada and Cuba (#100473)

<b>Table 4. Number of Projects by Region and Programming Area</b>					
<b>Region</b>	<b>Total</b>	<b>ENRM</b>	<b>ICT4D</b>	<b>SEE</b>	<b>Other</b>
1. Africa	<b>29</b>	8	10	9	2
2. Asia	<b>19</b>	8	4	5	2
3. Latin America & the Caribbean	<b>19</b>	4	3	9	3
4. Middle East	<b>7</b>	3	0	3	1
5. Global	<b>9</b>	4	2	3	0
6. Cross-Region	<b>2</b>	0	0	2	0
<b>TOTAL</b>	<b>85</b>	<b>27</b>	<b>19</b>	<b>31</b>	<b>8</b>

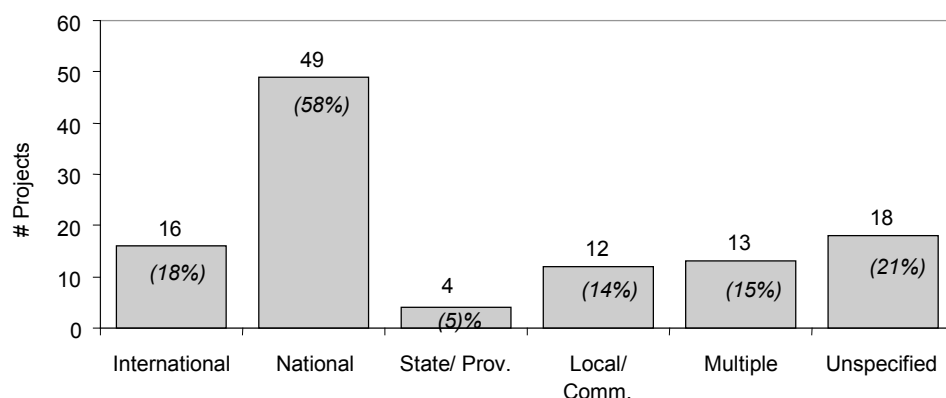
Table 4 illustrates the regional focus of policy intent in each program area by presenting the number of projects that expressed intent in the different regions. Like Table 3, it illustrates that overall, Africa is the focus of the majority of projects with the intent to influence policy. Asia and LAC are second and third-most frequently targeted

regions, respectively. Table 4 also hints at regional concentrations of policy intent within program areas. ICT4D exhibits a particular concentration on projects with policy intent in Africa. ENRM research projects on the other hand, appear to have been equally concentrated in Africa and Asia, whereas SEE projects are concentrated in Africa and Latin America and the Caribbean.

### 4.3 Level of Intended Policy Influence

The 85 projects that included the intent to influence policy amongst their objectives were reviewed for the level of policy that they intended to influence. Projects were categorized according to four levels (international, national, state/provincial, local/community), and the number of projects that targeted each level, as well as the number of projects that targeted multiple levels, were counted to provide an indication of the predominant levels of policy that research projects address.

**Box 7. Level of Policy targeted by Research Project Objectives:  
Number of projects by Program Area and by Geographical Region**



**Table 5a Level of Intent Disaggregated by Program Area**

Program Area	Total	International	National	State/Province	Local/Community	Multiple Levels	Unspecified
ENRM	27	5	8	2	9	4	7
SEE	31	4	27	1	2	6	3
ICT4D	19	2	12	1	1	2	6
OTHER	8	5	2	0	0	1	2
<b>Total</b>	<b>85</b>	<b>16</b>	<b>49</b>	<b>4</b>	<b>12</b>	<b>13</b>	<b>18</b>

**Table 5b Level of Intent Disaggregated by Geographical Region**

Region	Total	International	National	State/Province	Local/Community	Multiple Levels	Unspecified
Africa	29	3	22	1	4	5	4
Asia	19	3	11	2	4	4	3
Latin America	19	3	10	1	3	2	5
Middle East	7	2	4	0	0	0	1
Global	9	5	1	0	0	1	4
Cross-Region	2	0	1	0	1	1	1
<b>Total</b>	<b>85</b>	<b>16</b>	<b>49</b>	<b>4</b>	<b>12</b>	<b>13</b>	<b>18</b>

Box 7 summarizes the results of this analysis. An important finding was that 18 projects (21%) did not specify the level of policy that they intended to influence. Of the 67 that did, national level policy was the most frequently targeted level of policy (58%). International-level policy was the second-most frequent level of policy (18%), followed by local/community (14%), and lastly, state/provincial-level (5%). Of these projects, 13 (15%) expressed intent to influence policy at multiple levels.

Differences in the targeted level of policy between program areas, and geographical regions are again evident when the overall numbers are disaggregated (Tables 5a and 5b). SEE clearly has the heaviest concentration of projects with intent to influence policy at the national level (25 out of

29 projects), whereas ENRM projects are nearly equally divided between targeting policy at the national (8 out of 26 projects) and local/community level (9 out of 26 projects).

Disaggregating these numbers by the region in which the project took place (Table 5b) that national level policy remains the most frequently targeted level in all regions, however no significant differences between regions was noted in terms of the level of policy targeted.

#### **4.4 Summary and Discussion of Findings**

Four main findings came out of this section:

*1. The relative magnitude and intensity of policy focus in programming areas:*

The magnitude of policy intent within a given program area is reflected by the absolute number of projects, as well as the dollar value of those projects, within a given program area. In this sample of project objectives, SEE exhibited the greatest magnitude of policy intent, ENRM had the second greatest magnitude of policy intent, and ICT4D had the least magnitude. Likewise, in this sample of projects, SEE emerged the program area the greatest intensity of policy focus, but ENRM has the least intensity of policy focus amongst its projects, with ICT4D exhibiting a greater intensity of policy intent. The finding suggests that is that even though the ENRM program area tends to be less-obviously policy focused at the program level, and apparently more concerned with developing innovations (social and technical) for local-level management, due to the number of the research projects that are developed under it, ENRM still represents a significant thrust of IDRC's to influence policies.

*2. Regional focus of policy intent:*

Of the 85 research projects that included the intent to influence policy amongst their objectives, the majority of those projects (35%) took place in Africa. Second-most frequent were projects that took place in Latin America and the Caribbean (22%), and in Asia (22%). Relatively small proportions of projects were Global (11%), or took place in the Middle East (8%).

*3. Level of policy targeted by research projects:*

Of the 79% of projects that indicated the level of policy that they were targeting, national-level policy was overwhelmingly the most frequent level of policy addressed. This finding is consistent with both Adamo's and Edwards' reviews; both of which found that national level policy is the most frequently targeted level of policy in IDRC projects.

*4. Project objectives frequently do not specify the level of policy that they are targeting:*

Eighteen of the 85 projects (21%) that included intent to influence policy among their objectives did not specify the level of policy that they were targeting. This finding speaks to the larger issue repeated throughout this report, and that is that objectives of research projects could be more specific with respect to the ways in which they intend to influence policy.

The findings of this section are, by and large, consistent with differences noted in program-level objectives. An overwhelming majority of SEE projects indicated the intent to influence policy amongst their objectives, and of those, 26 projects targeted national-level policy. In contrast, a lower proportion (59%) of ENRM projects included the intent to influence policy among their objectives, reflecting the greater process-orientation of ENRM programs, often associated with encouraging research utilization and “scaling-up” of research results to improve livelihoods through local-level management of natural resources. Among the ENRM projects that did include the intent to influence policy, that intent was just as likely to be directed at the local/community level as it was likely to be directed at the national level, and the ENRM program area also had more projects targeting multiple levels than any other programming area.

The review of project objectives also revealed differences between programs areas that could not be anticipated based on program-level objectives alone. The first of these relates to the overall magnitude of policy intent in each program area. Program objectives indicate that ENRM programming tends to prioritize “scaling up” research results local-level natural resource management over influencing public policy per se. ENRM project objectives indicate, however, that ENRM projects represent a substantial portion of research projects with the intent to influence policy, with the second highest absolute number of projects, and the second greatest overall expenditure on projects with intent to influence policy. Another finding that could not have been predicted from program objectives alone relates to the apparent regional concentration evident in programming areas, particularly with regard to the strong African policy-focus in the ICT4D program area. This particular finding is likely explained by the fact that ICTs are an important emerging policy arena in Africa, and is an area of opportunity that the Acacia PI has been very actively pursuing.

## 5. WAYS THAT THE INTENT TO INFLUENCE POLICY IS EXPRESSED IN PROJECT OBJECTIVES

The previous section used project objectives to illustrate the broad dimensions of IDRC's intent to influence policy across program areas and geographical regions. While such information is useful, it is incomplete, as it does not reveal anything about how IDRC projects actually attempt to influence policy. This is the topic that concerns the following sections of this report.

The PI prospectuses and project objectives indicated a broad diversity in IDRC programming with regard to policy intent. That diversity becomes particularly evident in the variety of ways that the objectives of particular research projects express that projects intent, and in many cases, comparing one project to another is an apples-and-oranges exercise. As a preliminary step to comparing projects, it was necessary to divide the 85 projects into separate groups based on

<b>Table 6. Relative prevalence of Modalities (n=85)</b>	
<b>Project Type</b>	<b>Number</b>
1. Investigative Research	42
2. Capacity Building	14
3. Action Research	13
4. Networks	12
5. Policy Development/Implementation	4
6. Evaluation	5
7. Hybrid	7
8. Other	1

greater or lesser similarity. Towards this purpose, six categories by which the objectives of 85 projects expressed their policy influence were identified. These categories, hereafter called *modalities*, represent overarching rationales by which the intention to influence public policy is expressed by projects. Modalities are loosely based on; 1) the sorts policy-relevant outputs that the project intends to produce (and assumptions about their inherent potential to influence policy) and; 2) the ways in which actors and interactions between the actors

within projects are organized and structured. The six modalities are: *Investigative Research*; *Capacity Building*; *Networks*; *Action Research*; *Policy Development/Implementation Projects*; and *Evaluations*. These are projects whose purpose was to evaluate or assess a program, organization, or sector, and whose recommendations were prescient to policy questions.

Projects express their intentions to influence policy in different ways, and some ways are more common than others (see Table 6). Seven of the 85 projects exhibited features that were common to more than one of these types, and thus were called hybrids. Only one project could not be categorized under any modality.

The following section looks more closely at how projects within each of these modalities expressed their intent to influence policy.



## 5.1 INVESTIGATIVE RESEARCH

Table 7. Number of Investigative Research Projects developed within PIs and Program Areas.		
Program Area	PI	#
ENRM	CBNRM	1
	CFP	1
	Ecohealth	1
	PLaW	2
	MINGA	0
	SUB	5
	<b>TOTAL</b>	<b>10</b>
SEE	MIMAP	6
	PBR	11
	SMME	2
	TEC	2
	<b>TOTAL</b>	<b>21</b>
ICT4D	Acacia	1
	PAN	5
	<b>TOTAL</b>	<b>6</b>
OTHER	No record	4
	Special	1
	<b>TOTAL</b>	<b>5</b>
<b>TOTAL</b>		<b>42</b>

In terms of numbers of projects, the *Investigative Research* category of projects is by far the most prevalent modality, accounting for 42 out of the total 85 research projects (49%) that included the intent to influence policy in their objectives. *Investigative research projects* refer to a familiar type of arrangement in which a team of researchers is supported to produce a piece of research, often using traditional research methods, investigating a topic of policy relevance. The relevance of the research to policy making is often explicit implicit in project objectives, given the topic under study.

Table 7 summarizes, both by Program Area and PI, where the greatest numbers of these projects originated. It shows that SEE is the origin of the greatest number of projects of this type, and of those, PBR is the greatest contributor of SEE's investigative research projects.

### 5.1.1 Research Outputs, Linkages to Policy, and Primary Intended End-Users

The objectives of the 42 research projects were scanned for their research outputs, the linkages through which the project intended to link the research to policy, and the primary intended end-users of the research. Table 8 summarizes the results of this analysis.

#### 1. Research Outputs

In 36 of the 42 research projects (86%), policy was the primary focus of the research, whereas in 8 of the 42 projects (19%) policy considerations were secondary to the substantive research topic. The most frequent type of policy-relevant research output cited by projects were analyses of the interface between policy and societal conditions (11 projects). Second most frequent were projects that identified policy options or guidelines for policy development (11 projects). Five projects were involved in developing new methods and techniques that would change the way problems of policy relevance are analyzed. Less frequent were projects that had the objective of developing tools for decision-makers (3 projects), and projects that sought to generate data from which policy decisions could be drawn directly (3 projects). Least frequent were projects sought simply to understand a particular instance of policy making more clearly (2 projects).

## 2. Linkages to Policy

In the majority of cases, research project objectives did not specify how they intended to link research with public policy. In the cases that did clearly discuss connections to policy processes, the most frequently cited connection was the dissemination of research outputs to government agencies and other policy and decision-makers (15 of 42 projects, or 36%). Eight of the 41 (19%) research project objectives planned workshops, seminars, and other sorts of interactions with policy and decision-makers. In 5 of the 41 (12%) cases, the research outputs were intended to directly support civil society advocacy activities. One project (2%) had as an objective the development of a dissemination plan for further phases of the project. Five projects (12%) cited two or more of these activities to link their research outputs to public policy.

Table 8. Research Outputs, Linkages to Policy, and Primary Intended End-Users (n=42)								
1. Outputs of Research Projects		#	2. Linkage between Research and Policy		#	3. Targeted beneficiaries		#
1. Primary Output: policy is primary topic of study		36	Unspecified		15	Unspecified		17
1.1 Analysis of interface between policy and societal conditions (policy impact studies, how social conditions influence policy etc.)		11	Dissemination of research outputs to government agencies, policy makers, decision-makers		13	Government agency		12
1.2 Identification of policy options/ guidelines for policy development and/or implementation		11	Workshops/seminars/interactions with policy-makers/decision-makers.		8	Civil Society		8
1.3 Development of new analytical methods for policy analysts/ researchers		5	Research results are an input into civil society advocacy activities		5	Researchers		5
1.4 Development of “tools” to assist decision-makers		3				Bi- and Multilateral (eg. WTO)		3
1.5 Provision of data from which policy decisions can be drawn directly (“Research as data”)		3	Strategies for linking to policy to be developed for future phases of the project		1			
1.6 Greater understanding of policy processes.		2						
2. Secondary Output: policy considerations are secondary to substantive research topic.		8	Multiple		5	Multiple		5

## 3. Policy Relevant End-Users

Research project objectives were also reviewed for the primary stakeholders that they targeted as intended policy-relevant end-users of the research. In the majority of cases, 17 out of 42 (40%), objectives were unclear about to whom they were targeting as being end-users of the research. Twelve of 42 (29%) of the projects identified government agencies as the users of the research. Eight projects identified groups within civil society as the users of the research. Five of 42 (12%) of projects identified bilateral and multilateral organizations and only one (2%) identified donors

as the intended end-users of the research. Three projects (7%) identified two or more of these groups as end-users of the research.

### **5.1.2 Discussion**

Supporting its partners to conduct academic research into topics of policy relevance is numerically the most prevalent mode of policy influence expressed in this sample of IDRC projects. The different representation of the various PIs under this modality suggests differences between programming units in their preference for this mode of research project. SEE produced the greatest number of projects of this modality, and of those, PBR contributed the most projects of this modality. In contrast, the policy influence of ICT4D projects was least likely to be expressed in this way, and notably, no Acacia projects expressed policy influence in this way.

Analysis of project objectives in terms of what is considered by this study to be the most basic elements of that intent (i.e., outputs, linkages, end-users/beneficiaries) illustrated the most prevalent aspects of those elements. The most common research output was some sort of inquiry concerning the interface between policy and societal conditions. Examples of these include analyses of how policy impacts societal conditions, or historical studies to illustrate reasons for present socio-political arrangements. The most common cited linkage to policy was the dissemination of research findings to policy- and decision-makers, and similarly, the most common targeted end-users for the research were policy- and decision-makers.

A major finding of this analysis was that although most of these projects took policy questions to be the central element of the research, most did not describe or were unclear about; 1) how the research would link to policy; and 2) who the policy-relevant end-users of the research were.

## 5.2 CAPACITY BUILDING

Table 8. Number of Capacity Building Projects by PIs and Program Areas.		
Program Area	PI	/
ENRM	CFP	1
	Ecohealth	1
	SUB	1
	<b>TOTAL</b>	<b>3</b>
SEE	MIMAP	1
	PBR	2
	TEC	3
	<b>TOTAL</b>	<b>6</b>
ICT4D	PAN	1
	<b>TOTAL</b>	<b>1</b>
OTHER	No record	2
	Corporate	2
	<b>TOTAL</b>	<b>4</b>
<b>TOTAL</b>		<b>14</b>

Tim Dottridge has written that capacity building is a *sine qua non* of all IDRC work, and that virtually all of IDRC projects are premised on a learning-by-doing conceptualization of capacity building<sup>8</sup>. It is thus necessary to draw distinctions between *capacity building* as it used in this study, and the way that the term is generally used at IDRC. Capacity building, in this study, refers to a rationale by which project objectives explicitly express intent to influence policy through building the capacity of a particular group or groups of policy stakeholders. Thus, while it is recognized that most IDRC projects intend to build capacity, as a modality of policy influence in this study, it includes a narrower range of projects.

In total, 14 projects expressed intentions of influencing policy in this way. Similar to the *investigative research* category, the majority of these projects were SEE projects, although differences between program areas and PIs are less pronounced than they were in investigative research projects.

### 5.2.1 Project Outputs, Linkages to Policy, and Beneficiaries of Capacity Building

In much the same way that it was done for investigative research projects, the 14 projects that were included under the *capacity building* modality were analyzed for what were considered to be the basic elements of intent to these projects: their outputs, the linkage of these outputs to public policy, and the beneficiaries of the capacity building activities. The results of this analysis are summarized in Table 8.

#### 1. Project Outputs

In general, projects that intended to influence policy by building capacity produced three kinds of outputs: 1) learning materials; 2) training or workshops for specific policy stakeholders, and; 3) the provision of technical and/or administrative services, which are geared towards supporting organizational capacities by easing the burden administrative burdens and increasing the effectiveness and efficiency of information exchange.

<sup>8</sup> *Strengthening Research Capacity, The Experience of the International Development Research Centre* (1993). By Tim Dottridge, Advisory Council for Scientific Research in Development Problems (RAWOO), Conference on Donor Support. The Hague, The Netherlands, 2-3 September 1993, pgs. 35-47.

## 2. Linkages to Policy (or Capacity Outcomes)

There were three ways in which capacity building activities were intended to link to and influence policy. The first was the increased analytical and/or methodological capabilities of researchers. The second was to increase capacities of policy/decision-makers to absorb policy research, and for government agencies to do research and analysis. In the case increasing the capacity of the policy and decision-makers, this was to increase their capacity for absorbing and utilizing research. The third type of capacity addressed was that of policy stakeholders and members of civil society to participate in policy debates.

## 3. Targeted Beneficiaries of Capacity Building Activities

There were four different groups that were targeted for capacities building, three of which were cited by research project objectives in relatively equally numbers. These were policy/decision-makers; researchers; and NGOs and members of civil society. The fourth group was mentioned in only one project, and this addressed increasing the capacity of actors in the private sector as a way of influencing policy.

### 5.2.2 Discussion

The 2002 *Annual Report of Evaluation Findings*<sup>9</sup>, based on findings from Edwards' and Adamo's reviews, argued that capacity building and policy influence are highly interconnected goals: capacity building is both 1) an activity that contributes to increasing the policy influence of research, as well as 2) a form of policy influence itself. The strategy of building *researchers*

Table 9. Outputs, Linkage to Policy, and Beneficiaries of Capacity Building (n=14)								
Outputs of Project		#	Linkage to Policy (Capacity Outcomes)		#	Targeted Beneficiaries of Capacity Building Activities		#
Preparation of course/ training/ educational materials		4	Increase analytical, methodological capabilities of researchers (higher quality analysis, and thus increased legitimacy)		6	Policy-makers, Decision-makers, government agencies		7
Training/ workshops		4	Enhance the abilities of policy/ decision makers to do analysis/ utilize research		5	Researchers		6
Services: Technical/ administrative coordinating support/ information service provider		4	Increased ability of stakeholders/ members of civil society to participate in policy debate.		5	NGOs, Civil Society		6
						Private sector/ business people		1

<sup>9</sup> *Annual Report of Evaluation Findings 2002*. IDRC Evaluation Unit.

capacities contributes to the influence of research by improving the timeliness, rigour, and relevance of the studies that they produce. Also, building the capacity of *policy makers and decision-makers* to utilize the results of policy research can increase the influence of research on policy as well. But capacity building can be seen as a type of policy influence in and of itself, in that by increasing the capacity of policy stakeholders to engage in policy processes (such as civil society groups and NGOs) the range of perceptions brought to bear on policy issues is expanded, and the dynamics of policy formulation are themselves changed.

This review of project objectives supports these previous findings in that three major groups of policy stakeholders were targeted by projects (policy makers, researchers, and civil society), and that these corresponded with three major types of capacity outcomes sought by projects (improved capacities of researchers, policy-makers and civil society) tends to support the idea of capacity building both as a means of increasing the influence of research, and as a kind of policy influence in and of itself. Furthermore, that the targeted groups and outcomes sought were cited in relatively equal numbers suggests that all three strategies of influencing policy through building capacity are employed in equal numbers.

### 5.3 NETWORKS

<b>Table 10. Number of Network Projects by PI and Program Areas</b>		
<b>Program Area</b>	<b>PI</b>	<b>#</b>
<b>ENRM</b>	SUB	1
	CBNRM	1
	<b>TOTAL</b>	<b>2</b>
<b>SEE</b>	MIMAP	2
	TEC	1
	<b>TOTAL</b>	<b>3</b>
<b>ICT4D</b>	PAN	3
	<b>TOTAL</b>	<b>3</b>
<b>OTHER</b>	Alt	1
	No record	1
	Corporate <sup>10</sup>	2
	<b>TOTAL</b>	<b>4</b>
<b>TOTAL</b>		<b>12</b>

The word “network” is employed often and loosely in IDRC project objectives, sometimes as a verb to describe activities that will be undertaken by the project, at other times it is used as a noun to describe loose yet coordinated arrangements of researchers and policy stakeholders. Rather than attempt to address all the ways in which the term is used in project objectives, this study looks at network projects whose objectives explicitly link their intent to influence policy to the creation and coordination of deliberately constructed networks of researchers and policy stakeholders to generate research and/or undertake collaborative activities around policy questions. Twelve of the 79 projects explicitly expressed their intent to influence policy in this way. Table 10 summarizes the

program area and PI from which these projects originated.

<sup>10</sup> Corporate Projects were TIPS and EQUINET.

### 5.3.1 Types of Networks

Projects that fell into this modality did not easily yield information relating to outputs, linkages, and end-users/beneficiaries, nor did they easily fit the linear process outputs-linkages-end users framework for policy influence. As will be discussed at the end of this section, it is likely that the reason for this is that networks are a means of implementing many different kinds of strategies of policy influence.

Network projects from this sample of projects generally had three different but not mutually exclusive purposes: 1) generate and disseminate research and knowledge, 2) build capacity, and 3) catalyze innovation. They do so by involving many different sorts of actors (both individuals and institutions), and are premised and organized around different sorts of development themes, the majority of which have a goal of influencing policy. The major types of networks are described in terms of their stated purposes (Networks for generating knowledge and research, Networks for building capacity, Networks for technical Innovation).

#### *Networks for generating knowledge and research*

Eleven of the 12 network projects have policy influence as a central objective of their work. These eleven projects differ largely in terms of the scope of their membership (researcher centred or civil society centred), purpose for the network, as well as the activities of the network. Some networks appear to seek a broad constituency of members in order to thicken the communicative links between research, policy, and civil society (EQUINET, Towards a Genetic Policy Institute) around policy issues, while other networks involve either researchers or civil society as the central members. Researcher-centred networks seem to function in order to generate critical masses of research around policy questions. Civil society centred networks appear to be looser forms of networks, and often depend on ICTs as the medium through which discussion around particular issues.

#### *i. Researcher-Centred Networks*

Four projects described networks that were structured arrangements of specialized groups of researchers working on common sets of problems. These were:

- MIMAP Finance Network (#100473),
- Global Financial Governance Initiative (#100471)
- Asia Development Research Forum (#100709),
- CBNRM and the farmer-centred research network, China (100732)

In each case, the separate groups of researchers in the networks are housed and administrated by a university or research institution, and research activities are structured according to common research agendas.

In the first three of these research projects (MIMAP, Global Financial Governance Initiative, and the Asia Development Research Forum) influence on macro-level economic and development policies is sought through building a critical mass of research around particular thematic issues, and then seeking to stimulate and/or create spaces for discussion on these issues. Thus, while researchers generate specialized knowledge, the influence of that knowledge on policy is described as deriving from subsequent critical engagement of a wider audience of policy actors (such as media, civil society etc) with that research.

The fourth of these researcher-centred networks, (CBNRM's Farmer-Centred Research Network), is a variation on this theme. This network involves a narrower range of targeted policy actors (researchers and government agencies) and the ultimate goal is not to shift macro-development policies through influencing a broad constituency of policy actors, but rather to influence China's national agricultural research agenda. In this case, the network was created as a vehicle to scale up the lessons and experiences of participatory action research from projects occurring throughout the Southeast Asian natural resource management research community. It does this by disseminating CBNRM experiences amongst researchers and government agencies throughout the region.

#### *ii. Civil Society Centered Networks*

Four network projects were centrally concerned with drawing civil society interests together around a broad range of policy questions.

- South Asian Civil Society Network (#100472),
- OLISTICA (#100584),
- Global ICT Policy Monitor (#100505),
- Virtual Information Centre on the Altiplano (#4026)

In the project objectives and abstracts given, these projects differ from the researcher-centered networks both in terms of structure and intent. In contrast to the highly coordinated research conducted within research institutions and guided by agendas, these networks appeared of having much less formal structure. Instead of describing specific disciplines and the research expertise that will be brought to bear on policy questions, the descriptive emphasis of these projects is more on enabling communication and sharing of knowledge amongst civil society members.

In Bernard's (1996) terms, all of these projects are *projective networks* in that they provide spaces in which multiple perspectives come to bear on an issue, from those spaces, alternative research programs can emerge. They are also *platforms for action* in that they form both a loose organizational center from which advocacy activities can be organized, as well as supply



information for advocacy activities that are geographically widely dispersed. In its abstract, the *South Asian Civil Society Network* (project #100472) aptly describes how such networks take advantage of what it calls “the new phenomenon of the internationalization of the public interest civil society” and the effects that this is having on policy making.

*With the rapid flow of information across the globe at extremely low costs the civil society is better placed than ever before to understand and talk to each other. This is having a direct impact on international policy making, as well as at the national and regional levels.*

Indeed, all four civil society projects appear to be tapping into this trend, and all highlight the benefits of ICTs for making communication possible with a wide variety of actors over vast distances. In two of the four projects (*Global ICT Policy Monitor* and *Virtual Information Centre on Water in the Altiplano*), Internet technologies are the focus of the projects as well as the principle means of holding the network together, and perform a function described in both projects as being a “web-based information clearinghouse”

#### *Networks for Building Capacity*

Three of the network projects explicitly sought to build policy capacities through the network. Anne Bernard’s (1996) study of networks provides interesting insights into these three projects, in that some of the findings of that study seem to be borne out regarding networks that building capacity as a goal. The first of these findings was that networks are generally not as effective as institutions at building capacity. Bernard reasons that this is due to the fact that networks are loose associations, generally without their own administrative functions and seldom have the organizational capacity to coordinate focused capacity building activities. Networks also tend to have a high turnover in their membership, meaning that skills and individual capacities built within the network tend to be lost over time. The second finding was that when networks do have capacity building as their goal, they tend to have institutions as the unit of membership rather than individuals. These findings predict two adaptive responses to networks that take on capacity building as a goal: networks for building capacity will tend to either be *networks of institutions* or the networks will solidify to become more *institutionalized*.

##### *i. Network of Institutions*

The *Network for Equity in Health in Southern Africa* (EQUINET) (#100954) is a network that in its current phase has undertaken activities to build the capacity of its member institutions to engage in policy discussion.

In the initial phase of the project, a network of institutions was created in Southern Africa to begin promoting policies for more equitable provision of health care. Towards this end, it fostered the creation of productive relationships between professionals, civil society organizations and policy makers through various activities such as conducting research, initiating conferences, workshops,

participating in Internet discussions, and providing input into the Southern Africa Development Community (SADC) Forums. The current phase of the project (2001-2004) states that it intends to build on the achievements of its previous work through a number of activities, including a program of peer-reviewed small grants and commissioned papers relating to equity and health. Small grants and commissioned papers are ways of building capacities of individuals, and are also ways of initiating networks of researchers (Bernard (1998)). The intention of these activities appears to be to thicken the web of relationships between researchers and member institutions, but for such activities to be successful, there needs to be institutions to be the focus of these activities.

*ii. Networks that have been Institutionalized*

The institutional direction taken by the *Towards a Genetic Resources Policy Institute* project and the already institutional structure of the *TIPS* network also seem to support Bernard's predictions. The unit of membership in both of these networks, unlike EQUINET, is a conglomeration of individuals and loosely configured groups. As such, it seems that both *TIPS* and the *Genetic Resources Policy Institute* have tended to gravitate towards stronger, more institutionalized structures. Again, both are focused on building capacity through networks, and both require stable institutional structures to do so.

*Towards a Genetic Resources Policy Institute* (#100647) describes itself as a follow-up to SUB's Crucible II project. Crucible was a project that engaged multiple stakeholders in discussions around genetic resources, and was reputed to be very successful in bridging the gap between the concerns of local indigenous users of genetic resources and broader policy issues. The main contribution of the project is said to have been in clarifying the various points of view of the main players in this area, analyzing the legal and strategic issues, and to putting together a set of recommendations for decision makers.

The current project involves sustaining and maintaining the network created in the Crucible project group by institutionalizing an independent initiative on genetic resources policy. The intention is that this will be supported through the creation of a Secretariat housed within IDRC. The overall objectives of this initiative is to build the analytical and technical capacity of southern actors engaged in genetic resource related law and policy development, by i) assessing the demands made by developing country policy actors made for different research and capacity building services; ii) acting as a knowledge broker, linking demand with existing resources and iii) supporting recommendations for national law and policy where southern actors demands cannot be met by existing supply.

The second example of an institutionalized network arrangement is the former Corporate Project *Trade and Industrial Policy Strategies* (project #101039), which has since become the Trade and Industrial Policies Secretariat. Throughout both periods, TIPS has existed as a non-profit organization in South Africa, with the stated mission of helping South Africa meet its economic policy challenges. It seeks to do so by i) serving as an information clearinghouse for policy makers and researchers, ii) building capacity outside of government for applied policy research, and iii) increasing the absorptive capacity of policy makers for policy research.

#### *Networks for Catalyzing Innovation*

The PAN Collaboratory (project #100483) corresponds to what Bernard has called an access network - an arrangement that links development, research and business sectors to catalyze innovation. In the words of the project, “the main thrust of the collaboratory is to facilitate innovation among PAN partners in the use of internet-based technologies to add value to their research and development activities and to improve networking and shared learning among PAN partners”. Policy influence is a secondary objective and is expressed: “to increase awareness among decision-makers of the capabilities of new ICTs to enhance economic, social and environmental development and the necessity of instilling strategic approaches to the adoption of ICTs”.

### **5.3.2 Discussion**

Eleven of the 12 network projects were centrally concerned with influencing policy. The mechanisms that they used to do so were principally; bringing a critical mass of researchers (and research) around a particular set of policy questions; creating communicative links between policy stakeholders; disseminating research and information to wide range of policy stakeholders; and building or augmenting the capacity of targeted groups of policy stakeholders to participate in policy processes. The projects reviewed here also seem to bear out some of Bernard’s (1996) findings that that the pursuit of different purposes within networks impose structural requirements to the network. Networks that perform research production and dissemination activities appear to require less institutionalized structures than do those seeking to build capacities.

One way of presenting the way that networks influence policies puts an emphasis on their ability to produce and disseminate research. In this view, networks themselves do not constitute policy influence, but are instead structures that allow researchers to be responsive to policy concerns. Networks also provide wide communicative links through which research can pass. This view is consistent with descriptions of research-centred networks that seek to build a critical mass of research around particular policy issues. It is also consistent with the view presented in the literature review for the policy study (Neilson, 2001). Neilson notes that in this view, networks can

are seen more as a route to policy influence rather than as a source of influence: “for the most part network models are somewhat rational in nature and, as a result, do not explain the complexities outside of the actors’ environment, particularly in a developing country context” (p. 28).

Another, “less systematically understood” (Stein et al 1999) way of interpreting the work of networks relates to how they structure social interactions for the “intersubjective production of meaning” (Stein et al, 1999, Stone, 2002). This view seems more consistent in the civil society focused networks, as well as networks like EQUINET that seek to thicken the links between researchers, policy makers and civil society. In this view, networks not only function to transmit information, but they also provide fora in which the values underpinning policy and research are discussed, and in this context, the meaning of particular policy issues are brought into focus and reframed. It is in generating new meaning given to policy matters that is seen as the impetus for change (Stone, 2002).

## 5.4 ACTION RESEARCH

<b>Table 11. Number of Action Research Projects by PI and Program Areas.</b>		
<b>Program Area</b>	<b>PI</b>	<b>#</b>
<b>ENRM</b>	CBNRM	4
	CFP	1
	PlaW	1
	SUB	1
	<b>TOTAL</b>	<b>7</b>
<b>SEE</b>	<b>TOTAL</b>	<b>0</b>
<b>ICT4D</b>	ACACIA	1
	PAN	2
	<b>TOTAL</b>	<b>3</b>
<b>OTHER</b>	No record	1
	<b>TOTAL</b>	<b>1</b>
<b>TOTAL</b>		<b>11</b>

Eleven projects were considered to be action research projects. Table 9 illustrates that the ENRM program area is most involved in this kind of research, with CBNRM as the biggest contributor of these projects.

Action research projects are defined by a characteristic approach that they take to producing research. They are projects that simultaneously seek to answer concrete development challenges (i.e., action), as well as generate generalizable, abstract knowledge (i.e., research). The overall process is characterized by alternating periods of action followed by critical reflection, and the production of research tends to be both an emergent and iterative process. Policy

questions are, almost by definition, secondary to the primary concern of addressing the immediate development challenges faced by the project.

### 5.4.1 Action Research and Policy Influence

Action research projects are, by definition, occupied primarily with utilization of research results, however their intended influence on public policy is not straightforwardly through the outputs-linkages-end-users rationale. The reason for this is simply that, for action research projects, the model simply does not apply. There is no distinction between the producers of the research and the primary users of the research: they refer to the same people.

Box 6 provides objectives from two action research projects as examples of how action research, as a modality of policy influence, typically consists of parallel goals: a specific practical developmental goal and a policy-oriented goal. These examples illustrate that a goal common to all action research projects, and that is to build capacity through a learning-by-doing kind of rationale. But these examples also illustrate a feature common to all projects which seek to influence policy through action research, that through trial and error they generate and test knowledge through its application, and in this way they are able generate practical, tested options, for solving problems, and that these can be replicated in other locations.

Policy influence occurs in different ways when project partners are state or non-state actors. The difference is primarily a result of the difference of whose capacities are built. In projects working directly with government agencies, it is primarily the researchers in those government agencies whose capacities are built, thereby changing the way in which those agencies do their work,

**Box 6. Two examples of action research projects****1. Introducing Internet-based Education in Mongolia (#4458) - PAN****Practical Goals**

*The aim of this project is to initiate selected Mongolian institutions into the processes of research development and experimentation with web-based instruction methods and technologies for distance education... this will... help build capacities so that appropriate technology choices for distance education are available to the country for implementing its nation-wide distance education system.*

**Policy Goal**

*...a parallel aim of this project is to encourage and facilitate the educational authority within the country to formulate a vision and strategic plan for technology-based distance education, within the national education policy framework.*

**2. Resource Management Policy, Ratanikiri (Cambodia) Phase III (#100488) - CBNRM****Practical Goal**

*The work is aimed at developing, testing and implementing methods and options for community-based natural resource management including management options for Yak Lom Lake, an important heritage site... the program focuses on building local government capacity at the village, commune, district and provincial levels through participatory development processes.*

**Parallel Policy Goal**

*To assist and continue the ongoing processes of CBNRM and planning to further the work towards recognition of traditional rights and tenures by local, provincial, and higher levels of government.*

which in turn constitutes a form of policy influence. The majority of action research projects in this sample are Participatory Action Research (PAR) projects. The primary partner in these projects is a government agency, and through building the capacity of government researchers to conduct participatory research, government researchers are both improving their skills as well as working to build capacities of local people to locally manage their own natural resources. While local management of natural resources does not necessarily qualify as change in public policy, the changing perceptions and ways in which government workers interact with people in one or two localities can, in turn, influence the ways in which their government's agencies and authorities interact with many local groups, which constitutes a subtle kind of policy influence.

The "Farmer-centred Research Network" in China (mentioned earlier in the "Networks" section) illustrates another way that experiences gained within PAR projects can be linked to policy through the creation of a network, seeking to disseminate experiences amongst researchers and government agencies (see Box 7). This linking of projects also illustrates how policy influence is conceived of more as a way to "scale up" research and replicate solutions elsewhere, as evidenced by the way this project describes its relevance;

*These objectives relate closely to the CBNRM objective to compare and exchange experiences and lessons between researchers, communities, and government staff at the national level and within South and South East Asia. They are also relevant to the Centre's increased emphasis on the scaling up of research results and impact, in this case, through the development of university teaching and training programs and through informing/influencing policy-making at regional or national level.*

**Box 7. CBNRM and the farmer-centred research network, China (100732)**

The overall objective is to contribute to the improvement of rural livelihoods and to the re-orientation of the national agricultural research priorities and methodologies.

**Specific Objectives**

1. To introduce and develop new approaches and methodologies in agricultural research with an emphasis on CBNRM
2. To share experiences and develop lessons on participatory research in order to strengthen the capacities of research organizations.

To disseminate research and influence agricultural policy reform.

### 5.4.2 Discussion

The defining feature of action research as a modality of policy influence is that there is no clear distinction between the producers of research and the primary end-users of that research. In action research projects, policy influence tends to arise from one or both of two ways: 1) directly, through partnering with state actors, thereby changing the practices of those state actors; and/or 2) the production of tested, replicable options of what works for given development challenges, which then provides concrete examples of what policy outcomes should look like. In the second case, as the CBNRM example shows, networking activities can be employed to expand the reach of action research projects by disseminate experience and learning to a wider audience so it can be used in other contexts which, in turn, can provide leverage for policy change.

These examples show that action research, as a modality of policy influence, approaches policy from a bottoms-up sort of process. In doing so, it combines features from capacity building (in that they seek to build the capacities of partners, and thereby their behavior) as well as those of networks (in that they share experiences to spread word of what works and why).

## 5.5 POLICY DEVELOPMENT/ IMPLEMENTATION PROJECTS

The most direct influence that projects can conceivably have on public policy is to be directly involved in their development and/or implementation. Four projects were involved in these activities, and Acacia was the PI for all of them.

All four share number of other features in common: all projects partnered primarily with government agencies, all were directly concerned with creating national level policies guiding some aspect of ICT development, and all were centrally concerned with drawing together public and private sector viewpoints as to how to provide services. The projects were slightly different with respect to aspects of policies that they were involved in creating, as well as in the ways they sought to do it (see Box 4).

### 5.5.1 Discussion

This modality of policy influence is unique from the others in that the very purpose of these projects is to develop or help to implement policies. They are distinct from other research projects in that they do not have to go to extra lengths to get the attention of policy makers.

In relation to this, the linearity of steps in the design of three of the projects is noteworthy. The research portion takes the form of a needs assessment, whose results are presented to a wider group of stakeholders, either feeding directly into a negotiative process for developing policy, or in which the findings are publicized and used to leverage investment. The exception to this is the CurriculumNet project, which utilizes an action research approach to develop options and recommendations for technology-enhanced education in Uganda.

Box 8. Policy Development/ Implementation Projects
<p><b>1. Development of an Integrated National Information and Informatics Policy (100572) – Acacia</b></p> <p>Project 100572 took on the task of developing a National Information and Informatics Policy for Uganda. The design of the project follows three steps: 1) forming a task force of stakeholders, 2) comprising public and private sector interests; 3) conducting a national needs assessment; 4) drafting a policy proposal to be discussed at a national stakeholders meeting, from which; 5) a final policy would be drafted and submitted for adoption.</p>
<p><b>2. Mozambique – ICT Policy-Strategic Implementation, Leadership and Promotion (100737)</b></p> <p>Project 100737, that took place in Mozambique, by contrast took on the problem of how to implement a national information policy. This project attempts to address it through developing an implementation framework, which will be promoted through workshops designed to do two things: 1) increase knowledge and understanding about ICTs throughout government, and 2) attract foreign investment to enable the growth of a knowledge based economy.</p>
<p><b>3. Policy and Strategies for Rural Communications Development in Uganda (100577)</b></p> <p>This project, taking place in Uganda, is similar to Project 2 above, in that its purpose is to assist in leveraging foreign investment in ICTs in order to create favourable conditions for implementation of a policy for ICT development. This time, however, investment is to be attracted through the preparation of a user-demand survey and workshops to share the results with prospective service providers.</p>
<p><b>4. CurriculumNet Pilot Project: Integration of Education Technologies (100737)</b></p> <p>This case is similar in that of Example 1 in that it also attempts to identify options for policy. The purpose of this project is to inform policy surrounding the use of ICTs in primary and secondary education. It is also unique in that it seeks to do so through an action research approach. Its objectives are: 1) developing the capacity of students, educators, and educational administrators to effectively use ICTs in teaching and learning, and in the process, 2) formulate policy recommendations in respect of technology-enhanced education in Uganda.</p>



## 5.6 EVALUATIONS

### 5.6.1 Evaluation and Policy Influence

Five research projects were titled evaluations, and as such, were considered their own modality. Two of these were Acacia projects, two were ENRM projects (one from CFP and one from Ecohealth), and one was a corporate project. Although it stated that it intended to disseminate its findings to policy makers, the policy relevance of Ecohealth evaluation of the use of Ecosystem Health concepts by CGIAR was not clear, and so was dropped from this analysis.

In the remaining four projects, evaluation figured into projects' intent to influence policy in one of two ways, either; 1) Directly - as assessments that were conducted in order to generate baseline information to inform and feed directly into policy processes, or; 2) Indirectly – as an evaluation for project/program learning, which was conducted in order to increase the effectiveness of the project, which itself is centrally concerned with influencing policy.

Evaluations that were intended to feed directly fed into policy processes shared strong similarities with the early steps of policy implementation projects, particularly in assumptions about policy formulation being a linear, step-wise process (see Box 9).

Two evaluations were designed to improve upon existing work. The AGUILA project (see Box 10) is noteworthy in that in this project evaluation is used to strengthen the operation of the newly created Executive Secretariat, whose purpose will be to institutionalize the work of the network; a topic discussed elsewhere in this report.

#### Box 9. Evaluation as Direct influence on Policy

##### **Feasibility Study and Evaluating Evolution through Communication**

This project sought to generate alternatives for introducing ICTs in educational and governmental institutional frameworks. The evaluation will provide a baseline for and effective large-scale introduction of ICT options in different sectors and institutions of Inhambane Province, Mozambique.

##### **Science Technology and Innovation Policy Review.**

This evaluation takes the form of a review of the science, technology and innovation policy in Jordan. The specific focus is on how The Higher Council for Science and Technology (HSCT) interacts with Jordan's overall "system of innovation".

A team of experts will do the review, and this will be disseminated to stakeholders through workshops and seminars, and there will be a published version of the final report. The overall goal is that this will help to promote technical change and build on the national science and technology base as a stimulus to economic and social development.

<p><b>Box 10. Examples of Evaluation as an indirect Policy Influence</b></p> <p><b>1. ACACIA: Evaluation of Acacia Supported School Networking Projects (100691)</b></p> <p>This evaluation is taken to consolidate the shared experience of Acacia-supported school networking projects in three countries in Sub-Saharan Africa: South Africa, Mozambique and Senegal.</p> <p>The evaluation centers around four themes: connectivity, teacher training, content development and policy. The evaluation will give direction for further phases of ELSA, and will be used to inform future programming and identify implications for further research.</p> <p><b>2. CFP: AGUILA Executive Secretariat and Evaluation (100503)</b></p> <p>The Latin American Network for Urban Agriculture (AGUILA) is a network of researchers and advocates for Urban Agriculture founded in April 1995 with IDRC support. This project will support the creation and Evaluation of an Executive Secretariat, through which the network will be coordinated. Specific objectives of this project are to:</p> <ol style="list-style-type: none"> <li>1. exchange information about experiences in UA in Latin American and the Caribbean</li> <li>2. strengthen the Executive Secretariat, the network and its membership by capturing additional resources and institutionalizing its activities, and;</li> <li>3. influence local authorities and decision-makers to include the support and promotion of urban agriculture in local urban policies.</li> </ol> <p>The evaluation of in this project is proposed to strengthen the operation of the network.</p>
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## 5.6.2 Discussion

These projects do not offer evaluation as its particular way of influencing policy, rather they show that evaluation is a way of producing information that can be used to do so through 1) informing policy decisions (and functions similarly to policy implementation projects) or 2) of strengthening projects and programs whose intentions are influencing policy.

## 5.7 “HYBRID” AND “OTHER” PROJECTS

### 5.7.1 Projects that did not fit a Modality

Only one project did not fit into any of these modalities. This was the *International Forum on Ecosystem Approaches to Human Health* (100840). The reason that it did not fit is not that it was doing anything decidedly different, but more because the purpose of the project was to put in place an organizational process for the preparation of a large, complex Forum, involving many international researchers. The purpose of the forum itself, however, is to among other things, promote and refine innovative approaches to improving human health through better management of ecosystems; and to address gaps in the research methodologies, intervention design, and policy development linked to Ecosystem Approaches to Human Health. Thus, this project shares a number of features in common with some of the *investigative research projects*, particularly those seeking to develop new methodologies to address policy questions.

### 5.7.2 Hybrid Projects

Seven projects were included in more than one modality, and were considered to be hybrid projects. These projects combine rationales and ways to influence policy that are common in other projects. One combination that has already been presented, were projects that explicitly sought to influence policy through building capacity of policy stakeholders, and to facilitate this through the creation of a network. This was the case with *EQUINET*, *Trade and Industrial Policy Strategies*, and SUB's *Towards a Genetic Policy Institute* project, all of which were discussed in the section on Networks.

Another common combination is projects that seek to influence policy both by producing *investigative research* as well as *building capacity*. Such is the case in PBR's *Budgeting for Defense in Africa* (100870), whose research outputs are to be used in “training sessions with parliamentarians and defense officials [which] are expected to facilitate civilian control of military budgeting and expenditures”.

The CurriculumNet project represents a combination of the modalities of Policy Development and Implementation and Action Research.

Finally – although not really a hybrid project on its own, CBNRM's farmer-centred research network illustrated how a network project can be used to help scale up results of action research projects and influence policy.

## 6. SYNTHESIS OF FINDINGS

***The intent to influence policy constitutes a significant part of the programming goals of all programs.***

The statements of intent to influence policy in program level visions, mission, goals and objectives are largely consistent with data from the projects. The addition of project-level data provides a more textured view of the differences between program areas. Looking at program-level statements of intent alone, for instance, tends to understate the significance of ENRM program area to the IDRC's overall thrust to influence policy. Program-level goals illustrate that ENRM programs are ostensibly more focused on influencing processes of stakeholder engagement and scaling up of research results than on influencing policy per se. Data provided by the sample of the projects supports overall view: only 59% of ENRM projects expressed intent to influence policy, compared to 73% of ICT4D, and 91% of SEE projects intend to influence policy. But what program goals miss is that to the size of the ENRM program area, these projects represented 31%, or almost a third, of the total number of projects in the sample with intent to influence policy. Thus this study shows that even though ENRM on its own is involved in more than influencing policy, the program area represents a significant proportion of IDRC's thrust to influence policies.

***The corporate-level imperative to influence policy has refracted into many different approaches at the program and project levels.***

The review of program level goals illustrated that IDRC's corporate commitment to influencing policy is taken up in different ways at the program level. Given how open to interpretation the terms "policy" and "influence" are, it is perhaps not surprising that these terms are applied to describe many different scenarios in which the goal is to get research used by decision-makers. At the project level, it is found that there is further refraction and examining project objectives reveals a myriad of different directions and approaches to influencing policy, all expressed rather vaguely. The lack of clarity in objectives is both one of the findings of this report, as well as a feature that methodological difficulties for describing the intent to influence policy in IDRC programs and projects.

***There differing emphases on influencing policy processes and influencing policies themselves across programs and program areas.***

Visions, missions, goals and objectives at the program level revealed that there are differences between programs in the degree to which they are both policy oriented and process oriented in their attempts to influence policy. While the vast majority of all IDRC programs indicate in their objectives that they seek to influence processes of engagement, the SEE program area contained the most programs that directed these efforts at influencing specific areas of policy.

The ICT4D program area is divided between influencing processes and policy, while ENRM programs are mostly focused on influencing multi-stakeholder processes, which can implicate policy, but does not always necessarily do so.

***National Level Policy is the most frequently targeted level in program project objectives.***

This finding is consistent with those from both the Edwards (2001) and Adamo (2002) reviews. At the program level, it was found that programs that directed intent at specific policies were also most likely to specify the level of policy. SEE programs were by far the most likely to direct efforts at specific policies or domains of policy, and they were also most likely to address national level policy either on its own, or in combination with other levels of policy.

At the project level, this review found that national level policy is the most frequently targeted level of policy in project objectives. Once again, however, differences between program areas were noted with respect to the level of policy targeted. The greatest differences were again between SEE and ENRM. The majority of projects in the SEE program area expressed the intent to influence national policy (21 out of 26 projects), whereas in the ENRM program area, the policy intent was expressed with the highest frequencies at both the national level (7 out of 24 projects) and the local/community level (8 out of 24 projects).

**Differences in regional focus to influence policies**

Overall, a clear majority of all the projects with intent to influence policy occurred in Africa (34%). Projects occurred next most frequently in Asia (19%) and Latin America and the Caribbean (19%).

Within program areas, there were hints of regional concentration. Of the projects sampled, over half of the ICT4D projects (52%) with intent to influence policy occurred in Africa. This likely had to do with newness of ICTs, and the emergence of new policy domains in Africa in which IDRC's ICT4D program area has become actively involved. ENRM projects with policy intent occurred most frequently in Africa (30%) and Asia (30%). SEE projects occurred most frequently in Africa (29%), and Latin America and the Caribbean (29%).

**Differences in policy orientations and process orientations of programs are apparent in the varying prevalence of project modalities across programs and program areas.**

Some project modalities imply more linear approaches to influencing policy than others. For instance, *investigative research*, *capacity building*, *policy implementation*, and *evaluation projects* all conform to a rationale in which the project generates the planned-for outputs (such as

research papers, training materials, or draft policies) which are then targeted at the appropriate policy actors, and this translates into influence on policies. Other modalities, such as *networks* and *action research* do not as easily fit this linear rationale. They describe projects that seek continuous engagement of policy actors, and imply a kind of influence that results from more than just information alone.

It was also found that projects from particular programs were more likely to fall into particular modalities than in others. SEE projects were disproportionately represented in the *investigative research* modality, of which the PBR PI contributed the majority of projects. In contrast, *policy development/Implementation* was a modality occupied only by projects developed by the Acacia PI. In a similar but less dramatic way, *action research* projects were produced for the most part by ENRM (particularly CBNRM) and ICT4D program areas.

These differences between programming areas with respect to how they express their intentions of influencing policy overlay fundamental differences in approaching policy influence, and the differences between programming units that the this review revealed are congruent with the differences in program level goals. For instance, SEE was most likely to express its intended influence in an *investigative research* type of way, suggesting that SEE is more occupied with supporting researchers in research institutions to produce academic studies pertinent to policy processes. ENRM, on the other hand, is much more concerned with influencing processes to improve local livelihoods by empowering local people to exercise more control over managing their own natural resources. As such, action research becomes a more prominent research vehicle in ENRM programming area. Given ICTs prominence as an emergent policy arena in many parts of the developing world (notably Africa), it is perhaps not surprising that ICT4D projects are directly involved in informing and developing national-level policies.

***There are common strategies that projects draw from in their intentions to influence policy, but the specific rationales behind the how those strategies are deployed are not easily generalizable.***

Across modalities, it is observed that projects often employ similar basic strategies to influence policy. Dominant strategies appear to be producing and disseminating high quality research, building the capacities of key individuals, and creating strategic linkages between researchers, policy makers and groups of policy stakeholders. Analysis of modalities revealed that those strategies are based on distinct kinds of rationale. These are informed by a multiplicity of contextual factors such as who the project partners are, the overall program and policy goals of the programming unit, what the project is referring to when it uses the word “policy” (i.e., are they referring to legislation, certain bureaucratic or organizational procedures? Such distinctions are often not clear in objectives), and the particular socio-economic and political contexts in which the

project operates. Planning for policy influence clearly goes beyond producing the right amount of quality research combined with the right amount of capacity building. “Quality of research” will mean something different according to the particular use to which the research will be eventually put. Similarly, “Capacity Building” will look different depending on the context, as well as practical considerations such as; whose capacities are being built, the level of capacity (individual, institutional, societal), and the types of capacities they are building.

***Project objectives do not present a vision of the policy processes that they seek to influence, nor do they address the way the research will be used to influence policies.***

One feature common to all of the objectives is that they do not present a clear vision of how research will be used in policy processes. Given the high prevalence of intent among projects and programs to influence processes through engaging different policy stakeholders, this appears as a significant gap in the rationale of many projects and programs. The goals and objectives of projects and programs often appear to be premised on unstated assumptions, both about how a) policy processes operate, as well as b) how research can and will articulate with those processes. In many cases, particularly in projects that fell into the investigative research category, the assumption appears to be a “field of dreams” view: i.e., if you build the research, the policy makers will come. They also often appear to assume rational, linear policy processes, into which research can straightforwardly fit. In other cases, it is not at all clear how the project or program sees the relationship between research and policy.

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## ANNEX I. PROGRAM-LEVEL GOALS AND OBJECTIVES

### ENRM PROGRAM INITIATIVES

#### **Community-Based Natural Resource Management (CBNRM)**

From Prospectus on Website:

[http://intra1.idrc.ca/ppb/CBNRM\\_PROSPECTUS.pdf](http://intra1.idrc.ca/ppb/CBNRM_PROSPECTUS.pdf)

#### GOALS AND OBJECTIVES

##### GOAL

To develop and transfer technical, methodological, analytical, social/institutional and policy innovations for more productive, equitable and sustainable natural resource use by communities in ecosystems facing environmental stress and degradation in Asia.

##### SPECIFIC OBJECTIVES

All of the PIs specific program and research objectives will be implemented in collaboration with village-based resource users, collectively and separately by social group, paying particular attention to gender, ethnicity, age, socio-economic class. The PI, through support to its research partners, will more specifically:

1. Identify and analyse the local resources and livelihoods under greatest threat and disaggregate the micro- and macro-causal factors leading to degradation, as well as the differential impacts such degradation is likely to have on women and men.
2. Develop new technologies or adaptations of indigenous systems which make more productive and sustainable use of privately- and collectively-managed resources at the community level.
3. Improve or promote institutions for the assessment, management and monitoring of natural resource use at the local level.
4. Develop new mechanisms and processes for resource planning, access to information, co-management and policy interaction between local communities and various levels of government.
5. Compare and exchange lessons and experience in CBNRM between communities, research institutions, and government agencies within the region and in Canada.

#### **People Land and Water (PLaW)**

From Prospectus on Website:

[http://intra1.idrc.ca/ppb/PLAW\\_2000PROSPECTUS.pdf](http://intra1.idrc.ca/ppb/PLAW_2000PROSPECTUS.pdf)

#### GOALS AND OBJECTIVES

The Goal of the People Land and Water PI is:

To promote the equitable, sustainable and productive utilization of land and water resources by rural women and men in stressed ecoregions of Africa and the Middle East in order to enhance their income, food and water security.

PLaW adopted FAO's (1996) definition that food security is "access at all times to the food (quantity, quality, and variety) required for healthy and productive life". Drawing on this, PLaW defines water security as "continuous access to an adequate supply of water in terms of quantity and quality that is required to meet the requirements of food security and a healthy and productive life".

PLaW will continue encouraging relevant networks and partnerships of developing country and international researchers to assist the PI in pursuing three strategic research objectives that lead to the goal of enhanced income and food and water security. Furthermore, PLaW will focus its

research support on soil productivity and water demand management related issues as entry points for addressing food and water security respectively (see section 3.1.1). Most projects will be initiated through relevant requests for financial assistance from IDRC's partners. A few projects will be initiated by PLaW in order to facilitate a synthesis of the lessons learned from a variety of research activities supported by IDRC and other donors. The three PI objectives with example projects highlighted in boxes follow:

*a) To enhance understanding and knowledge to manage the systemic and external factors that lead to degradation or improvement in the productive and service capacity of land and water resources.* Research areas include the structure, function, and best management practices of priority natural resources systems of importance to human populations and development in AME. Key gender, social, economic and policy factors along with current and traditional local coping strategies and technologies will be emphasized. Biophysical factors will also be researched as needed to identify the reasons for resource degradation and option for improving resource management in targeted communities.

*b) To contribute to local and national policies and institutional arrangements that, by managing intrinsic conflicts, equitably increase access, availability, quality and productive utilization of land and water resources.* Research will build on the understanding gained in the first objective to enable policy makers to effect changes in natural resource management that will increase sustainable use of land and water resources. Policies and organizations that facilitate community level conflict resolution or that provide incentives for efficiency and equity in the allocation of land and water resources will receive attention. Example projects are given boxes 3 and 4.

**Managing Natural Resources: Latin America and the Caribbean (MINGA)**

From Prospectus in Website:

[http://intra1.idrc.ca/ppb/PLAW\\_2000PROSPECTUS.pdf](http://intra1.idrc.ca/ppb/PLAW_2000PROSPECTUS.pdf)

## GOALS AND SPECIFIC OBJECTIVES

The Program Initiative MINGA: Managing Natural Resources (Latin America and the Caribbean) seeks to enhance, through research, the capacity of LAC societies to define, develop, and implement equitable and sustainable NRM strategies in representative areas of selected ecoregions.

The specific objectives of the MINGA PI are:

1. To synthesize lessons learned about multi-stakeholder approaches to the sustainable and equitable management of natural resources, including organizational principles and ways to manage conflicts over natural resources.
2. To identify and generate effective tools and methodologies to support multi-stakeholder approaches to natural resource management.
3. To develop strategies to apply lessons learned from multi-stakeholder natural resource management to new situations.
4. To promote the adoption and integration of multi-stakeholder approaches to natural resource management in organizations by analysing and demonstrating their effectiveness and benefits.

**Ecosystem Approaches to Human Health (Ecohealth)**

From Prospectus in Website:

[http://intra1.idrc.ca/ppb/ECOHEALTH4\\_PROSP.pdf](http://intra1.idrc.ca/ppb/ECOHEALTH4_PROSP.pdf)

## GOAL

The PI's goal is to improve human health by supporting trans-disciplinary research on the structure and function of stressed ecosystems on which people depend for their lives and livelihoods and by applying this knowledge to the development of appropriate and effective interventions and policies.

## OBJECTIVES

1. Describe, develop, and test new and improved tools and methods for research on ecosystem approaches to human health that incorporate societal needs;
2. Describe, develop, and test the ecosystem approach for assessing causal linkages human health and the natural and anthropogenic environments;
3. Building on the results of objective 2, support the development and testing of ecosystem management approaches to human health in the context of sustainable ecosystems, with particular emphasis on the use of participatory methods; and
4. Disseminate the concept of improving human health through better ecosystem that respects human development imperatives.

### **Cities Feeding People (CFP)**

From Prospectus in Website:

[http://intra1.idrc.ca/ppb/CFP\\_2000PROSPECTUS.pdf](http://intra1.idrc.ca/ppb/CFP_2000PROSPECTUS.pdf)

## GOAL AND OBJECTIVES

### GOAL

The goal of the Cities Feeding People (CFP) Program Initiative (PI) is to support development research that seeks to remove constraints and enhance the potential for urban agriculture in order to improve household food security, income generation, and public health, as well as the management of waste, water, and land for the benefit of the urban poor.

## OBJECTIVES

### Objective 1

To strengthen local research capacity and generate information on UA at the household and community level so that cities can formulate and implement policy and technology options, primarily for the benefit of the urban poor.

### Objective 2

To mobilize and enhance regional capacities to share experiences in urban agriculture, identify common policy and technology obstacles, and share and adapt solutions through training and networking.

### Objective 3

To influence governments, policy-makers and international agencies to effectively incorporate urban agriculture into their development programs.

### **Sustainable Use of Biodiversity (SUB)**

From Prospectus on Website

[http://intra1.idrc.ca/ppb/sub\\_prospectus2000.wpd](http://intra1.idrc.ca/ppb/sub_prospectus2000.wpd)

## GOAL AND OBJECTIVES

The goal of this Program Initiative is to promote the conservation and sustainable use of biodiversity and the development of appropriate technologies, local institutions and policy frameworks through the application of interdisciplinary and participatory research that incorporates gender considerations and local and indigenous knowledge.

The revised objectives of the SUB PI are:

- to promote use, maintenance and enhancement of the knowledge, innovations and practices of indigenous and local communities that conserve and sustainably use biodiversity;

- to support the creation of models for policy and legislation that recognize the rights of indigenous and local communities to genetic resources and to the equitable sharing of the benefits of the use of these resources in the context of intellectual property regimes;
- to develop gender sensitive incentives, methods, livelihood options and policies that facilitate community-based participation in in situ biodiversity conservation and management strategies

## 2. ENRM: CORPORATE PROJECTS

### **Consultative Group on International Agricultural Research (CGIAR)**

From Website:

<http://www.idrc.ca/ccni/whatis.html>

#### VISION

Poverty alleviation continues to be the CGIAR's underlying raison d'être. And while its research and operational challenges have become more complex over the years, its vision remains simple and compelling:

... to have a positive impact on food security, income and employment generation, and conservation of natural resources and the environment. The defining terms of this vision are: less poverty; a healthier, better-nourished human family; reduced pressure on fragile natural resources; and people-centred policies for sustainable development.

### **Office for Central and Eastern European Initiatives (OCEEI)**

From Website:

[http://www.idrc.ca/oceei/mission\\_e.cfm](http://www.idrc.ca/oceei/mission_e.cfm)

OUR MISSION: To share strategic knowledge

OUR VISION: To find innovative solutions with our partners in Eastern and Central Europe for the purpose of achieving mutual goals and interests in research and its applications. These are solutions that: enhance the quality of life support the process of reforms foster resilient bridges and linkages between our societies.

### **International Network for Bamboo and Rattan (INBAR)**

From Website

<http://www.panasia.org.sg/inbar/>

No Vision, Mission, Goals or Objectives presented.

### **Mining Policy Research Initiative (MPRI)**

From Website

Vision: <http://iipm-mpri.org/mpri/index.cfm?id=2&lang=eng>

Mission: <http://iipm-mpri.org/mpri/index.cfm?id=3&lang=eng>

General Objective: <http://iipm-mpri.org/mpri/index.cfm?lang=eng>

What is our vision?

Mining contributes to the generation of improved levels of well being and to the sustainable and equitable development of mining regions in Latin America and the Caribbean because:

- Governments have better access to information and improved capacity and political will to assess the trade-offs inherent in different development options, as well as growing freedom to choose the most sustainable ones;

- Mining companies are environmentally and socially responsible and respect diversity;
- Civil Society Organisations, and particularly the most vulnerable groups, effectively influence the development and the impacts of mining projects, from prior consultation to post-closure.

What is our mission?

- To contribute towards the development of research capacity in the region and to promote the participation of research groups in giving social use to existing knowledge about mining, well being and sustainable development.
- To promote and facilitate communication among diverse stakeholders involved in mining through the development of networks of suppliers and users of relevant knowledge and information, in order that they can identify and implement more sustainable policies and practices.
- To promote more inclusive and equitable decision-making processes, by strengthening the capacities of the more vulnerable stakeholders and by increasing their access to information and to capacity building opportunities for the co-management of mining impacts.

The general objective of MPRI is three-fold:

- to support applied and participatory research on issues related to mining and sustainable development in mining regions and of communities of Latin America and the Caribbean;
- to foster collaboration among different stakeholders in the sector, both within the region and with other regions, especially Canada;
- and to improve the generation, access and use of relevant information on the subject in the Region.

#### **EcoPlata**

From Website:

<http://www.ecoplata.org.uy/indexe.html>

#### **Objectives**

EcoPlata is an Inter-Institutional Integrated Uruguayan Coastal Zone Management of the Río de la Plata Support Program. Integrated management has been defined as “an ongoing and dynamic process that engages the government, the scientific community and the stakeholders administration, and takes into consideration the community’s and sectorial interests, in the development and implementation of an integrated plan to preserve and develop the coastal resources and ecosystems”.

It seeks to promote the integrated management of the Río de la Plata Uruguayan coastal zone through natural and social sciences research, planning and policy development. The program will foster the participation of the community, represented by local inhabitants and coastal zone users, in the decision-making process.

The program has the following objectives:

To manage in an integrated manner the resources of the Río de la Plata Uruguayan coastal zone through research and through the implementation of demonstrative activities at pilot areas.

- To design management proposals based on a preliminary diagnosis and implement actions that seek to promote the preservation and sustainable use of coastal resources through the participation of governmental institutions responsible for environmental management.

- Establish communication forums between the community, the administration and the researchers to encourage the development and implementation of integrated management measures and conflict resolution.
- To solve existing conflicts in the use of coastal resources, both on the land portion and in the aquatic sector of the project.
- To propose protective actions for scarcely used areas and corrective actions for those areas where degradation processes have been identified either in the resources or the environment in general.
- Ensure a sustainable development of coastal zone resources that may enable the continuation of present activities under sustainable conditions and the undertaking of new activities as a result of improved conditions.

### 3. ENRM SECRETARIATS

#### EMS

From Website:

<http://www.ems-sema.org/english/sema/sema.htm>

#### Mission

The mission of the EMS is to foster a correct environmental management in Latin America and the Caribbean, by providing support in decision making (policy) formulation and implementation) in relation to the environmental effects of the different human activities, through a more dynamic relation between research, horizontal cooperation and a growing availability of relevant information.

#### EMS: Objectives & Challenges

- to increase the technical capacity of institutions and professionals in Latin America and the Caribbean to identify and assess environmental problems,
- to improve the decision-making processes for the formulation, implementation, monitoring and evaluation of policies, programmes and projects related to environmental management
- to nourish and develop a market for research applied to environmental management, where the demand aspect is presented by entities whose decisions actually impact the quality of the environment
- to increase and complement existing initiatives to promote an effective training and networking between technical experts and managers or politicians whose decisions affect the environment through sectoral and local policies, and to favour their interaction with qualified research outlets and with systems for the dissemination of relevant managerial experiences and acquired knowledge.

#### IMFNS

From Website:

<http://www.idrc.ca/imfn/aboutus/mission.html>

#### Mission and Objectives

#### Model Forest Purpose

Forests are among the world's most important ecosystems and a major source of economic wealth. The Model Forest program is based on overcoming three basic impediments to the achievement of sustainable development in practice.

The first is the need to recognize all values that are represented by forest ecosystems. In the past, the short term economic opportunities tended to be viewed as the central value of forests and all other values were viewed as constraints on the ability to exploit economic products. Yet we increasingly recognize that an integrated approach is needed to manage for the conservation of all goods and services represented by forests.

The second issue relates to the need for the creation of a common vision and set of objectives that are shared by all stakeholders in the forest. This means that a change is necessary from the past tendency of institutions, communities, industry, and different levels of government to pursue their goals in isolation from one another. That change is towards partnership and common purpose.

The final issue to be addressed relates to attitudes and knowledge in the public. Solutions to forest degradation, social inequality, and long term economic growth must finally be achieved through education and broadened awareness of the values of forests in the general public of the area concerned. Farmers, forestry workers, community leaders, hunters and fishermen, and local businesses must all understand the forest and how their activities impact on the sustainability. The challenge in designing the model forest program was to address these impediments without preaching dogmatic solutions.

#### A Common Philosophy

Each model forest is established as a working-scale model aimed at effecting a transition from conventional forest management to management for sustainable forest production and environmental conservation. Each model forest attempts to demonstrate sustainable and integrated forest management, to transfer the knowledge to forest managers and to have the applicable technology applied operationally as applicable. Each model forest is managed through a partnership of stakeholders in the area. Each model forest demonstrates the integrated management of key resources and utilizes state-of-the-art technology and ecologically sound forestry practices.

While sharing a common philosophy, the model forests sites have different sets of activities. Each has specific objectives relating to conservation of biodiversity, cross-cultural awareness, economic diversification, public education, and agricultural improvements, as examples.



## 2. SOCIAL AND ECONOMIC EQUITY (SEE)

### 2.1 SEE PROGRAM INITIATIVES

#### **Micro Impacts of Macroeconomic and Adjustment Policies (MIMAP)**

Prospectus from Website:

[http://intra1.idrc.ca/ppb/MIMAP\\_2000PROSPECTUS.pdf](http://intra1.idrc.ca/ppb/MIMAP_2000PROSPECTUS.pdf)

The General Objective of the Micro Impact of Macroeconomic and Adjustment Policies PI is to assist developing countries to analyze and create alternate policies and programs that achieve the goals of economic stabilization and adjustment while reducing poverty and softening impacts on vulnerable groups.

The Specific Objectives of the PI are to:

1. Enhance the research capacity of developing countries to analyze the impact of macroeconomic policies on their citizens;
2. Provide new instruments for policy and program design and analysis, by developing rigorous analytical tools and poverty monitoring systems;
3. Assist the development of community-based monitoring and local development mechanisms;
4. Strengthen the ability of policy-makers to negotiate with international players, such as the banks and other multilateral and bilateral organizations;
5. Bring together researchers, politicians, government officials, and NGOs in policy dialogue at the national and regional levels; and
6. Promote the exchange of research knowledge, tools, results and policy dialogue among countries, institutions and donors.

#### **Peacebuilding and Reconstruction (PBR)**

Prospectus from Website:

[http://intra1.idrc.ca/ppb/PBR-PH2.2\\_PROSP.pdf](http://intra1.idrc.ca/ppb/PBR-PH2.2_PROSP.pdf)

### MISSION

The PI seeks to contribute to peacebuilding through research on and research for peacebuilding by engaging Southern partners in this rapidly evolving field. The PI's mission is to support knowledge generation, policy development and research capacity building as tools to assist war-torn countries in their transition to peace and sustainable development. The PI will work primarily in three regions: Southern Africa, the Middle East and Central America. However, the results of the research it supports in these three regions, or at the cross-regional or global levels, are expected to have broader applicability.

### OBJECTIVES

- a) To enhance knowledge and understanding of three key aspects of post-war transitions: democratization, human security and the political economy of peacebuilding;
- b) To contribute to research capacity building, policy development and institutional arrangements that support transitions from violent conflict to peace and sustainable development at the local, national, regional or international levels;
- c) To promote innovative thinking and strategies for sustainable peace through historical and critical analysis of the nature, dynamics and impacts of current peacebuilding agendas;
- d) To encourage the development of new research methodologies, approaches, tools and partnerships in support of peacebuilding.

**Trade, Employment and Competitiveness (TEC)**

Prospectus from

[http://intra1.idrc.ca/ppb/TEC\\_2000PROSPECTUS.pdf](http://intra1.idrc.ca/ppb/TEC_2000PROSPECTUS.pdf)

The General Objective of the Trade, Employment and Competitiveness PI is to enable Developing Countries to participate more effectively in the global economy.

The Specific Objectives of the PI are to:

1. Improve Developing Countries' negotiation and bargaining capacities;
2. Contribute to the design of instruments, processes and procedures allowing developing countries to better profit from global opportunities; and
3. Assist developing countries to promote coherence between their domestic economic policies and their international trade policies.

**Governance Equity and Health (GEH)**

Prospectus from:

[http://intra1.idrc.ca/ppb/GEH\\_prospectus-boardFINAL2.pdf](http://intra1.idrc.ca/ppb/GEH_prospectus-boardFINAL2.pdf)**MISSION AND OBJECTIVES**

GEH's mission statement can be summed up as follows: strengthening health systems; promoting civic engagement; and making research matter. This translates into three general objectives of the program:

1. To support applied research that will both strengthen and monitor the capacity of governments to ensure equitable financing and delivery of priority public health and health care services, especially to marginalized and underserved populations;
2. To support informed and effective citizen demand and participation throughout the policy-to-practice process; and
3. To increase the effectiveness of research-to-policy linkages in promoting the dual goals of health and social equity.

More specifically, GEH aims to:

In support of Objective 1:

- i) integrate political, social, economic, and policy analysis into research on public health systems and policy in order to (a) provide solid grounds for making informed and needs-based decisions on the equitable financing and functioning of health systems; and (b) examine the governance challenges critical for deepening democracy and increasing health and social equity.
- ii) build a systematised body of research results and tools, available in a usable and problem-oriented format that will inform national and international policy dialogue to reinforce political commitment to support equitable access to health systems.

In support of Objective 2:

- iii) facilitate collaboration among researchers, NGOs, health practitioners, community and advocacy groups, and local/municipal/national governments in order to develop strategies to improve accountability, strengthen the rule of law, and create public spaces for policy dialogue that focuses on public services for health.
- iv) identify and test mechanisms that promote effective and informed participation of citizens in the policy and practice of service delivery for health at local, national, and international levels, particularly among sub-populations which are now largely excluded from access to services and from policy consultations.

In support of Objective 3:

- v) systematically examine health sector reform experiences and results, in order to identify opportunities and challenges in translating lessons learned and policy recommendations on equitable access to health services among different countries and policy environments;
- vi) build long-term partnerships with key like-minded actors, through linking research projects wherever possible to larger on-going development programs and through gradually building a critical mass of findings, networks, and tools around selected topical and geographic nodes.

## SEE CORPORATE PROJECTS

### **Tanzania Essential Health Project (TEHIP)**

Goal:

[http://network.idrc.ca/ev.php?URL\\_ID=3280&URL\\_DO=DO\\_TOPIC&URL\\_SECTION=201&reload=1045948346](http://network.idrc.ca/ev.php?URL_ID=3280&URL_DO=DO_TOPIC&URL_SECTION=201&reload=1045948346)

Specific questions:

[http://network.idrc.ca/ev.php?URL\\_ID=3298&URL\\_DO=DO\\_TOPIC](http://network.idrc.ca/ev.php?URL_ID=3298&URL_DO=DO_TOPIC)

## GOAL

The project's goal is to determine the feasibility of an "evidence-based" approach to health planning -- an approach whereby decisions on how to allocate scarce health care resources are made based on information obtained locally rather than on the unproven assumptions of a central agency -- and measure its impact. TEHIP's basic premise, in other words, is that the health of a population can be improved, not only by spending more money, but by spending money more wisely, according to where the needs are greatest.

Specifically, the project seeks to answer three key questions:

1. How and to what extent can Tanzanian district health plans be more evidence-based?
2. How and to what extent can evidence-based plans be implemented by decentralized district systems?
3. How, to what extent, and at what cost can such evidence-based plans have an impact on population health?

### **Peru Consortium for Economic and Social Research (CIES)**

From Website:

<http://www.consortio.org/objetivos.asp>

## OBJETIVOS

El propósito del CIES es fortalecer la comunidad académica peruana, para producir y diseminar conocimiento útil para los analistas y agentes de decisión en el sector público, la sociedad civil y la academia. En última instancia, su misión es contribuir al desarrollo del Perú, elevando el nivel del debate nacional sobre las opciones clave de política económica y social.

## SUS OBJETIVOS ESPECÍFICOS SON:

Producir nuevo conocimiento útil para el análisis, diseño, ejecución y evaluación de políticas y programas públicos.

Mejorar la calidad y relevancia de la investigación.

Fortalecer y descentralizar la capacidad nacional para la investigación y docencia en temas económicos y sociales.

Fomentar el diálogo y la interacción entre la academia, el sector público y la sociedad civil.

Promover el reconocimiento y apoyo a la investigación socio-económica en el Perú.

Obtener fondos de apoyo a la investigación.

**International Institute for Democracy and Electoral Assistance (IIDEA)**

From Website:

<http://www.idea.int/institute/inst-intro.html>

Created in 1995, the International Institute for Democracy and Electoral Assistance (IDEA) is an intergovernmental organization that seeks to nurture and support sustainable democracy world-wide. Global in membership and independent of specific national interests, IDEA works with both new and long-established democracies, helping to develop the institutions and culture of democracy. It operates at international, regional and national level, working in partnership with a range of institutions.

IDEA aims to:

Help countries build capacity to develop and strengthen democratic institutions.

Provide a forum for dialogue between academics, policy-makers and democracy practitioners around the world.

Synthesize research and field experience, and develop practical tools to help improve democratic processes.

Promote transparency, accountability, efficiency and professionalism in election management.

Facilitate and support in-country democracy assessment, monitoring and promotion by local citizens and interested parties.

**Small Enterprise and Livelihoods (SEL) Pilot Projects**

From Website

<http://www.idrc.ca/smmeit/research1.html>

Mission:

To support economic livelihoods by promoting value addition, growth and competitiveness of small enterprises in key sectors in Africa and the Middle East. Special emphasis is placed on opportunities for women and youth.

Goal:

To improve the capacity of researchers, policy makers and stakeholders in Africa and the Middle East to elaborate more effective and equitable policy and strategy frameworks for the development of key sectors.

Objectives:

Four objectives will be pursued:

- a) Establish and develop research capacity on value chains and related research questions;
- b) Produce rigorous policy-relevant and strategy-relevant outputs to inform and influence sector strategy thinking and policy decision making in selected national contexts;
- c) Promote 'value chain centric' partnerships leading to utilization of research results; and,
- d) Explore methodological refinement of value chains analysis.

**African Economic Research Consortium (AERC)**

From Website:

<http://www.aercafrica.org/about.asp>

## PRINCIPLES AND OBJECTIVES

The African Economic Research Consortium (AERC) was established in July 1988 to strengthen local capacity for economic policy research in Sub-Saharan Africa. Its mission rests on two premises.

1. First, development is more likely to occur where there is sustained sound management of the economy.

2. Second, such management is more likely where there exists an active, well informed group of locally-based professional economists to conduct policy-relevant research.

Hence, the mandate of AERC is threefold: enhancing the capacity of locally based researchers to conduct policy-relevant economic inquiry, promoting retention of such capacity, and encouraging its application in the policy context.

## SEE SECRETARIATS

### **African Technology Policy Secretariat**

From Website

<http://www.atpsnet.org/profile.asp?catid=1&ItemId=5>

## ATPS VISION

To become a centre of excellence and brokerage between science and technology policy researchers and technology makers and implementers, and to become a centre of reference on key issues of technology policy in the sub-Saharan region.

## ATPS MISSION

To improve human and institutional capacity for technology policy formulation, implementation, research, analysis, assessment, monitoring, evaluation and dialogue.

## ATPS OBJECTIVES

ATPS specific objectives are:

*Capacity building and enhancement for technology policy formulation implementation and research.*

ATPS seeks to build and improve human and institutional capacity policy formulation, implementation, analysis and research.

*Generating a critical mass of knowledge on technology policy issues.*

ATPS aspires to generate and build up systematic research information, knowledge and data on processes of policy formulation, implementation, monitoring and evaluation.

*Fostering networking and collaborative research.*

Dissemination of research results.

ATPS desires to facilitate and foster collaborative research between researchers inter se and researchers and policy experts and to facilitate inter-disciplinary, cross-sectoral and cross-national efforts for comparative and complementary research and exchange of information, experience and skills.

*Dissemination of research results.*

Through workshops, seminars, publications, policy dialogue voluntary advisory services, information networks and mass media, to disseminate research findings.

**Economy and Environment Program for Southeast Asia (EEPSEA)**

From Website:

<http://www.eepsea.org/aboutus/whatiseepsea.html>

Its goal is to strengthen local capacity for the economic analysis of environmental problems so that researchers can provide sound advice to policymakers. The program uses a networking approach to provide not only financial support but meetings, resource persons, access to literature, publication outlets, and opportunities for comparative research across its ten member countries. These are Thailand, Malaysia, Indonesia, the Philippines, Vietnam, Cambodia, Laos, China, Papua New Guinea and Sri Lanka.

**Research for International Tobacco Control (RITC)**

From Website:

<http://www.idrc.ca/tobacco/en/about/mission.html>

RITC's mission is to create a strong research, funding and knowledge base for the development of effective tobacco control policies and programs that will minimize the threat of tobacco production and consumption to health and human development in developing countries.

RITC works to accomplish this mission through a combination of research, dissemination, strengthening of capacity and coordination by:

- supporting research that will lead to the production, synthesis and dissemination of research data, position papers, and other information on tobacco control issues;
- enhancing tobacco control research capacity in order to produce credible information for local, national and international policy-making and program development;
- fostering linkages between Northern and Southern researchers and encouraging partnerships between research organizations, advocates and decision-makers;
- working to convince the donor community of the utility of supporting tobacco control research for development.

**Secretariat for Institutional Support for Economic Research in Africa (SISERA)**

From Website:

<http://www.idrc.ca/sisera>**Mission:**

To reinforce African centre capacity in research and management. Its support modalities include core institutional grants, support to collaborative thematic research, enhancement of managerial capacity building and centre integration in international scientific community through institutional links, exchange of researchers and connectivity.

**EXPECTED RESULTS:**

For Policy Makers

- improved economic decision making
- stimulate public debate on policy options
- local consulting and professional training services available for public and private sector employees
- possibility of internship at research centres or in government agencies.

**Trade and Industrial Policy Secretariat (TIPS)**

From Website:

<http://www.tips.org.za/profile/>**About TIPS (Trade and Industrial Policy Strategies)**

Tips is an independent non-profit research institution that is committed to assist government and civil society make informed policy choices, specifically in the areas of trade, industrial and regulation policy.

The main functions of Trade and Industrial Policy

Strategies are:

- Serve as a clearing house for the policy makers by effectively assisting in harnessing all relevant trade and industrial research for policy considerations, which will strengthen and enhance the capacity for policy analysis in South and Southern Africa
- Strengthen the capacity outside of government to construct research on trade and industrial policy in order to enlarge the pool of researchers.
- Play an increasingly important role in research capacity building in Southern Africa

## INFORMATION COMMUNICATION TECHNOLOGIES FOR DEVELOPMENT (ICT4D)

### ICT4D PROGRAM INITIATIVES

#### **Pan Asia Networking (PAN)**

Prospectus from Website:

[http://intra1.idrc.ca/ppb/PAN\\_PROSP03-2001.pdf](http://intra1.idrc.ca/ppb/PAN_PROSP03-2001.pdf)

#### PAN VISION *(how we imagine the ideal future)*

The society has a good capacity for identifying and choosing among technological alternatives as well as for experimenting with or creating appropriate ICT solutions. Diverse actors in civil society, business and government sectors use ICTs and take advantage of their benefits to promote sustainable and socially responsible development practices. With supportive policy environments that enable equitable access to ICTs in all sectors of society regardless of location or social condition, all can take advantage of the benefits of the new information economy, directly or indirectly. Researchers and other civil society actors have a clear understanding of the risks and opportunities presented by ICTs for social development, and they build on potential synergies and collaboration with private sector organizations and local and national governments to make meaningful use of them. Civil society actors work collaboratively with each other, and continuously revise and update their strategies and actions as technology evolves and new opportunities arise. Research results are widely disseminated and used to educate and inform peers and the public, as well as to influence policy debates formulation.

#### PAN MISSION *(what we will do to move towards the vision)*

PAN supports research on the synergies and potential tensions in the use of ICTs for development, focusing on the interfaces between public, private and civil society actors. For this, it supports research on programs and activities that promote equitable access and democratic use of ICTs, and that take advantage of opportunities for development in the new information economy, in order to:

- understand the positive and negative impacts of ICTs on people, culture, economy and society;
- strengthen ICT uses that result in positive outcomes for sustainable development;
- promote policy environments conducive to socially responsible uses of ICTs; and
- develop and experiment with innovative applications using leading-edge ICTs for development.

To accomplish this, PAN will support projects that carry out policy research, conduct social impact studies, and explore innovative applications of ICTs for development, with particular focus on the information economy and equitable access. PAN will work with research and academic institutions, civil society organizations, and governments in cooperation with private sector organizations on issues related to the new information economy and to equitable access to information and communication technologies for development. Moreover, PAN will continue to support stakeholders in many fields of development and facilitate consultation and discussion among them on research and development through networking. This will lead to the creation of virtual communities or knowledge networks.

### OBJECTIVES



A. Information Economy: To explore the challenges and to research the potential of ICTs for development in the new information economy.

B. Equitable Access: To explore and promote innovative alternatives and public – private partnerships for increased access to ICTs, and to assess their contribution to democratic participation.

#### **Acacia**

Prospectus from Website:

[http://intra1.idrc.ca/ppb/acaciaprospectus\\_bog.PDF](http://intra1.idrc.ca/ppb/acaciaprospectus_bog.PDF)

#### **Mission:**

- Continued application and related research endeavours of ICTs directly in communities and circumstances of poverty in Africa.
- Continued support to applied research that fosters pro-poor ICT-based policies within the pilot programming in Southern, West, East and North Africa.
- Fostering of ICT applied research in appropriate technologies and related policy formations that favour the development of cost-accessible and functionally relevant

The specific objectives of the PI include the following:

- To enhance understanding and knowledge of the innovative, transformative or dysfunctional effects of ICTs in poverty reduction and human development in Africa.
- To improve African countries' capacities to formulate and implement national ICT policies that promote equitable access to ICTs and information for socio-economic development.
- To contribute to research in appropriate ICTs that support development and adoption of affordable and functionally relevant technical solutions for Africa.
- To support research that increases African content on ICTs through software development for effective application of ICTs for development.
- To learn from Acacia's community-based research and experimentation and to widely disseminate this knowledge.

#### **PAN AMERICAS**

Prospectus from Website:

[http://intra1.idrc.ca/ppb/panamericas\\_bog.PDF](http://intra1.idrc.ca/ppb/panamericas_bog.PDF)

#### **PAN AMERICAS MISSION**

PAN Americas is supporting research on ICT4D in Latin America and the Caribbean. It helps diverse stakeholders in civil society, business and government sectors to make meaningful use of ICTs for development. PAN Americas has a particular focus on strengthening the capacity of researchers in civil society organizations to better understand and take advantage of the potential of ICTs for development in the region, while minimizing the risks associated with them. PAN Americas fosters collaborative approaches to research and learning and promotes sensitivity to gender issues in the use and appropriation of ICTs for development. PAN Americas works closely with the Institute for Connectivity in the Americas and other regional and global initiatives to strengthen evaluation and learning in their activities, building synergies and facilitating the dissemination and use of their results.

#### **PAN AMERICAS OBJECTIVES**

Within the broader objectives of supporting research on ICT4D and working in close collaboration with the ICA, PAN Americas will focus its work on three main objectives:

##### **1. Learning and Evaluation**



Our learning and evaluation focus will support the collective development and testing of appropriate frameworks, methods and tools to document the lessons learned and analyse the results and impacts of ICT4D initiatives in the region. Key elements of this utilization-focused approach to evaluation and learning are: promoting multi-stakeholder participation; building local capacity; and fostering collaborative work and exchange.

One of the major shortcomings, if we are to carry these initial results further, has been the unavailability of appropriate frameworks, methodologies and evaluation tools that are flexible, robust and useful to conduct monitoring, evaluation and impact assessments of ICT programs for development.

The Learning and Evaluation component of PAN Americas programming will be dedicated to designing, adapting or refining these frameworks and methodologies to promote an approach to evaluation that builds local capacity, that is mindful of multi-stakeholder needs and participation and that yields results that are useful for decision-makers in policy and programming.

PAN Americas will focus on identifying the conditions, actions and results that strengthen a social vision of ICT4D and that foster enabling environments to take advantage of ICTs' full potential.

## 2. Internet Policy

In building socially appropriate Internet policies, PAN Americas will support research on two related Internet policy issues: first, Internet dimensions in information, communication and telecommunications policies and their relation with other public policy areas (i.e., health, education); and second, the use of ICTs as advocacy tools to strengthen citizens' participation in policy-making processes. The focus will be on action research to increase awareness and promote the formulation of policy alternatives that are responsive to human development needs. PAN Americas will undertake research on "digital divide" issues, including the definition of indicators (qualitative and quantitative) and the assessment of the results of policies and initiatives targeting the digital divide. Internet policies include those related to universal access, privacy, intellectual property, freedom of expression and economic and social empowerment in the LAC region. The role of corporate social responsibility in the use of ICTs for development will also be explored as a potential policy area for research.

## 3. Dissemination and Utilization of Results

PAN Americas is committed to supporting targeted dissemination and utilization of research results and intends to promote enabling policy environments for ICT uses for development. The corporate project will promote "closing the loop" type of activities by targeting decision-makers in policy and program areas relevant to ICT4D. Utilization of research results cuts across the first two objectives by fostering diversity and exchange of ideas, as well as promoting collective action and capacity building.

In addition, an exploratory research component will be undertaken in order to understand better the potential of ICTs as vehicles for effective dissemination and utilization of results. The Internet offers many new possibilities for dissemination and communication, but their effectiveness for specific audiences and purposes needs to be assessed, in particular in relation to decision-makers in policy and program formulation.

### **Institute For Connectivity in the Americas (ICA)**

From Website:

[http://www.icamericas.net/index\\_e.html](http://www.icamericas.net/index_e.html)

## MISSION AND MANDATE

The Institute for Connectivity in the Americas (ICA) is a hemispheric organization that promotes the implementation of innovative uses of information and communication technologies (ICTs) for

development. We strive to connect the Americas by co-funding projects, actively enabling partnerships, and by supporting knowledge creation as well as capacity building.

Connectivity is about bringing people closer together, using both digital and communication technologies, to strengthen existing networks and create new ones. ICA's vision is that by connecting the people of the Americas, we will strengthen democracy, create prosperity, and help realize the region's human potential.

The Institute seeks to facilitate the development of domestic and regional connectivity strategies by adapting and implementing proven models; and promoting the exchange of information and expertise.

It is a unique tenet of the ICA that all supported programs must result in enhancing the region's capacity to participate in an increasingly knowledge-based society. All of the ICA's work is based on the support of innovative ideas that focus on the use of ICTs to solve traditional problems, and that offer practical solutions to overcome the barriers that have hindered the socio-economic development of the region.

#### **Bellanet**

From Website:

<http://home.bellanet.org/index.php?module=htmlpages&func=display&pid=1>

#### **MISSION**

Bellanet helps the international community to work together more effectively, especially information and communication technologies (ICTs).

Bellanet works to help development partners in the South and in the North improve their use of ICTs and knowledge to achieve their goals, and connect with the global development community. This, we believe, will lead to better policies, a more coordinated approach to development, and ultimately, measurably greater impact.

We do not offer grants or loans, but deliver our program through several different service lines. Together they represent key areas of intervention for building institutional and individual collaboration skills, and for maximizing the potential of ICTs to support collaborative work.

#### **SERVICES**

##### *Access and Training*

Bellanet helps improve the capacity of organisations and individuals to participate effectively in development by such things as making the web available to those with access to email only, and by helping to make ICT training and training materials more widely available, and in sustainable ways.

##### *Dialogue*

Bellanet provides advice and support to a range of partners on how to most effectively use web- and email-based tools for group dialogues and efforts toward the sharing of information. We also offer technical assistance and hosting services for many of these dialogues. Although websites and email discussion lists are the most visible outputs of this service line, the most critical aspect is the focus on solid facilitation of ongoing interactions.

##### *Open Development*

This service line covers three complementary areas of activity and is dedicated to ensuring ownership of information and technology is in the hands of the development community as a whole. In addition to making its software applications and content freely available through Open Source and Open Content licensing and practices, Bellanet promotes such practices in its

partnerships. Similarly, Bellanet develops and promotes Open Standards for the exchange of development information.

*Learning and Knowledge Management*

In order to assist development agents in coping with rapidly changing environments, Bellanet organises workshops, supports the development of organisational Knowledge Management strategies, and plays a lead role in nurturing and participating in a Community of Practice which shares its expertise on knowledge management (KM) for development organizations. Bellanet also undertakes a number of activities in support of greater organizational learning for development.

**ANNEX II: LIST OF RESEARCH PROJECTS WITH INTENT TO INFLUENCE POLICY**

<b>#</b>	<b>Project #</b>	<b>Project Title</b>
1	100572	Development of integrated national information Policy for Uganda
2	100577	Policy and Strategies for Rural Comm. Dev. In Uganda
3	100691	Evaluation of Acacia-supported school networking projects in Africa
4	100675	Feasibility study and evaluation of 'Evolution through Communication'
5	100737	Mozambique - ICT Policy - Strategic Implementation
6	100739	CurriculumNet Pilot Project
7	100868	Mozambique Acacia Advisory Committee and Secretariat Project
8	004026	Virtual Information on Water in the Altiplano
9	100488	Resource Management Policy Ratanikiri (Cambodia)
10	100732	CBNRM and the farmer-centred research network, China
11	100487	Case studies and networking initiative, Cambodia
12	100875	Sustainable Management of Common Natural Resources
13	100731	CG - Tilapia/ Aquaculture/ Food Security
14	100376	Improving rural-urban nutrient cycle through peri-urban agriculture
15	100641	Regional Training Course on Urban Agriculture
16	100503	AGUILA Executive Secretariat and Evaluation
17	100880	Greywater Treatment and Reuse, Tufileh, Jordan
18	100954	Equinet Phase II: Equity and Governance in Health in Southern Africa
19	100669	Best Practices and Teaching Cases in Social Policy Mangement
20	100908	Science, Technology and Innovation Policy Review (Jordan)
21	100772	Regional Ecosystem Approaches to Human Health Competition
22	100646	CG- Synthesis and evaluation of Ecohealth Research in the CGIAR
23	100840	International Forum on Ecosystem Approaches to Human Health
24	100662	Manganese Exposure in general pop. ~mining
25	100746	Micro Impacts of Macroeconomic Adjustment Policies
26	100740	MIMAP - Pakistan, Phase II
27	100713	MIMAP-Bangladesh IV
28	100759	MIMAP India Phase III
29	100622	MIMAP Training and Technical Support
30	100471	Global Financial Governance Initiative
31	100730	Small Grant Program: Fondo Mink'a de Chorlavi
32	100649	MD-Biotechnology to Benefit Small Scale Banana Producers
33	100733	Value Chain Analysis of the Kenyan Textile Industry
34	101039	Trade and Industrial Policy Strategies – Core
35	100800	Gender and Globalization in Food Processing in South Asia
36	100674	Pan-African E-commerce Policy and Strategy mission
37	004458	Introducing Internet-based Distance Ed in Mongolia
38	100483	PAN Internet Collaboratory for Research, Experimentation etc.
39	100580	Impact of ICTs in Rural Areas (India)
40	100507	Impact of Policy Environment Factors in E-Commerce Development
41	100505	Global ICT Policy Monitor
42	100994	Gender Evaluation Methodology for ICT Initiatives
43	004440	Electronic Commerce - Latin America
44	100583	Internet Access and Effective Use by Third Sector Organizations

#	Project #	Project Title
45	100584	OLISTICA (Samana - Phase II) Dominican Republic
46	100692	Good Governance and Security Sector Reform
47	100830	Southern African Reconciliation Study
48	100870	Budgeting for Defence in Africa
49	100496	Inter-ethnic relations and Ed. Reform in Guatemala
50	100648	Security and Defense in Guatemala
51	100666	International Mediation in African Civil Wars
52	100581	FONTIERRAS, Structural Adjustment and Access to Land in Guatemala
53	100600	New ICTs and Peacebuilding in Colombia
54	100501	Social Expenditures for the Development of the Maya People
55	100982	Small Arms Control in Nicaragua
56	100594	Crafting a durable democracy: Lebanon's Elecoral Laws
57	100596	Information Policy Project for Health Development in Palestine
58	100633	Gender Factor n Ag. Research in E. and C. Africa
59	100652	Elangata Wuas - Environmental Management III
60	100811	Community-based Water Quality Monitoring and drinking water
61	100063	Sustainable Management of the Dead Sea II
62	004566	Institutions for Transboundary Rivers: Akkar Watershed in Syria
63	100728	ICISS - International Commission on Intervention and State Sovereignty
64	100793	Globalization and Labour Markets in South Africa
65	100067	Promoting Competitiveness in the Micro and Small Enterprise Sector
66	100709	Asia Development Research Forum V
67	100854	Women behind the Label: The changing face of the garment industry
68	100555	Spatial-Temporal Dynamics of Sorghum Genetic Diversity
69	100422	Biodiversity Access Legislation in Vietnam
70	100561	Exploring Crop Development and Biodiversity Enhancement
71	100763	Conservation of Medicinal Plants for Sustainable Livelihoods in Nepal
72	100647	Towards a Genetic Resource Policy Institute
73	100604	International Trade and Gender in E. Africa
74	100472	S. Asia Civil Soc. Network on Trade Issues
75	100473	MIMPAP - Finance Network
76	003690	CUBA-Canada Economic Relations and NAFTA
77	100721	Central America in the World Economy of the 21st Century
78	100864	Technical Support to the Palestinian Legislative Council
79	100695	ICTs in support of gender equality in Senegal
80	100520	Sustainable Development of Urban Agriculture in West Africa - Consultation of Cities
81	100719	MIMAP - Bénin - Phase II
82	100792	Helping Young People Enter the Emerging Teleservices Market (Senegal)
83	100810	Economic Importance and Conservation of Medicinal Plants in Sénégal
84	100887	MIMAP Morocco - Phase II
85	100888	MIMAP - Burkina Faso - Phase II

**ANNEX III: LIST OF PROJECTS WITHOUT INTENT TO INFLUENCE POLICY**

<b>#</b>	<b>Project #</b>	<b>Project Title</b>
1	100556	Community Based Mangrove Management (Cambodia) - Phase II
2	100700	A Comparative Watershed Study (Andes - Himalayas)
3	100886	International Network for Bamboo and Rattan (INBAR)
4	100603	International Network for Bamboo and Rattan
5	100482	Livestock and Agroecosystem Management for Community Based Integrated Malaria Control (East Africa)
6	100670	Soils, Food and Healthy Communities: Monitoring Change in Northern Malawi
7	100771	Regional IDRC/ Ford Ecosystem Approaches to Human Health Competition (Middle East and North Africa)
8	100881	Dissemination and Planned Devolution of Research Results on Water Quality Monitoring : AQUAtox Network
9	100809	Pacific Trade and Development Network
10	100494	Coastal Area Monitoring Project and Laboratory (CAMP-Lab), Nicaragua - Phase III
11	100836	Doing Stakeholder Analysis
12	101026	SchoolNet South Africa - Institution Building
13	100405	Internet- Based Evaluation Tool for Civil Society Organizations
14	100504	Exploring Communication for Peace in Colombia : Communication System for Peace (SIPAZ)
15	100570	ICT - Supported Distance Education in Indonesia : an Effort to Enhanced Student Learning Satisfaction and Course Completion Rates
16	100582	ICTs in Education : Methodology for Evaluating Social Impact
17	100877	Research and Development of a Culture of Peace Using Information and Communication Technologies
18	100259	Communication among Banana Growers to Improve Soil Management Practices
19	100550	Community Land Management (Zimbabwe)
20	100832	Live Fences (Mali)
21	100697	Quality Improvement for the Small Scale Processing of Brazil Nuts (Peru)
22	100537	Global and Emerging Issues - Canadian Partnerships : 2000-2001
23	100645	An Inter-Agency Project on the Evaluation of Capacity Development
24	100835	Globalisation, Production and Poverty: Garments in Bangladesh
25	100861	The Position of Homeworkers in the South African Garment Industry Garment Chain
26	100371	Indigenous Vegetables for Food Security (Zimbabwe) - Phase II
27	100421	Gender, Knowledge and Innovations in Biodiversity in India - Phase III
28	100568	Conservation of Embera and Kuna Medicinal Plants and Associated Traditional Knowledge (Panama ) - Phase II
29	100607	Understanding and Improving Marine Protected Areas (Philippines)
30	100827	Improving Technology Development through Gender Analysis - Phase II
31	100897	Rural Community Governance and the Development of China's Villages
32	100484	Qualité de la santé humaine et celle des écosystèmes dans l'espace Buyo (Côte d'Ivoire)
33	100586	ECOHEALTH Training and Dissemination Workshops for West Africa, North Africa and the Middle East
34	100844	Management of competing water uses in the Nakambé basin - Phase II
35	100792	Helping Young People Enter the Emerging Teleservices Market (Senegal)

<b>#</b>	<b>Project #</b>	<b>Project Title</b>
36	100754	Digitizing the documentary resources of IFAN Cheikh Anta Diop for the Internet
37	100735	Applying ICTs to Mapping Pastoral Movements