

How can we increase the impact and uptake of research?

RIU

Validated RNRRS Output.

A demand-driven framework for scaling-up research findings is making inroads into poverty and improving livelihoods. It identifies the key strategies that must be put in place—forging strong networks and partnerships, building institutional capacity and ear-marking appropriate funding—and points out that research must be genuinely demand-led, and that researchers must be made more accountable for research impacts. The framework was used in the development of the DFID-NRSP's strategy for communication and scaling-up, and adopted by the World Bank, CIAT, ILRI, FAO, and the Kenya Forestry Research Institute. It is used by USAID projects in the Andes, South-East Asia and West Africa, and by the Swiss Agency for Development and Cooperation (SDC) in Nepal.

Project Ref: **NRSP05:**

Topic: **7. Spreading the Word: Knowledge Management & Dissemination**

Lead Organisation: **Gundel, S. (Independent), UK**

Source: **Natural Resources Systems Programme**

Document Contents:

[Description](#), [Validation](#), [Current Situation](#), [Current Promotion](#), [Impacts On Poverty](#), [Environmental Impact](#),

Description

NRSP05

A. Description of the research output(s)

Research into Use

NR International
Park House
Bradbourne Lane
Aylesford
Kent
ME20 6SN
UK

Geographical regions included:

[Bolivia](#), [Kenya](#), [Nepal](#),

Target Audiences for this content:

[Crop farmers](#), [Livestock farmers](#), [Fishers](#), [Forest-dependent poor](#), [Processors](#), [Traders](#), [Consumers](#),

1. *Working title of output or cluster of outputs.*

In addition, you are free to suggest a shorter more imaginative working title/acronym of 20 words or less.

Scaling-up strategies for pilot research experiences – a comparative review

Additional title:

A Framework for Scaling Up Research on Natural Resource Management

2. *Name of relevant RNRRS Programme(s) commissioning supporting research and also indicate other funding sources, if applicable.*

NRSP

3. *Provide relevant R numbers (and/or programme development/dissemination reference numbers covering supporting research) along with the institutional partners (with individual contact persons (if appropriate)) involved in the project activities. As with the question above, this is primarily to allow for the legacy of the RNRRS to be acknowledged during the RIUP activities.*

R 7865

Project leader: Sabine Guendel (former NRI) in cooperation with Jim Hancock (FAO) and Simon Anderson (DFID)

4. *Describe the RNRRS output or cluster of outputs being proposed and when was it produced? (max. 400 words). This requires a clear and concise description of the output(s) and the problem the output(s) aimed to address. Please incorporate and highlight (in bold) key words that would/could be used to select your output when held in a database.*

This review was commissioned by DFID's NRSP to identify strategies to accelerate the **uptake of pro-poor research innovations** in order to make a significant contribution to poverty reduction and the improvement of livelihoods. It addressed a key criticism of conventional approaches to technology dissemination which is the failure to reach and impact upon the poor.

The main output of this project was an innovative and **demand-driven framework for scaling-up**. The framework includes **key strategies** as prerequisites for scaling-up that need addressed systematically in the pre-project and implementation phases.

These key strategies include:

- Engaging in existing policy dialogue on pro-poor development agendas; building strong networks and partnerships; building capacity and institutional systems to sustain the scaling-up process; and identify and/or developing appropriate funding mechanisms to finance these and other scaling-up activities.
- Identifying target groups and local constraints to scaling-up; and raising awareness of the merits, including pro-poor impact, of the approaches taken among a range of stakeholders.

The project also identified some major implications for research orientation and practice, including that research

should be genuinely demand-led, and researchers should be more accountable for research impacts. To achieve this:

- NRM research should be located more directly in the context of local and national development processes, this involves directing project calls to target-region institutions, developing stronger partnerships and regional capacity in sustainable livelihoods approaches, and producing outputs suitable for local dissemination.
- Monitoring and evaluation indicators are needed to measure successful pro-poor targeting (livelihood impact) and cost-effectiveness. Indicators should be regionally adapted and agreed with regional partners.

The scaling-up framework is available as a publication in English and Spanish (hardcopies and electronic format).

5. What is the type of output(s) being described here?

Please tick one or more of the following options.

Product	Technology	Service	Process or Methodology	Policy	Other Please specify
			X		

6. What is the main commodity (ies) upon which the output(s) focussed? Could this output be applied to other commodities, if so, please comment

Relevant across all commodities.

7. What production system(s) does/could the output(s) focus upon?

Please tick one or more of the following options.

Leave blank if not applicable

Semi-Arid	High potential	Hillsides	Forest-Agriculture	Peri-urban	Land water	Tropical moist forest	Cross-cutting
X	X	X	X	X	X	X	X

8. What farming system(s) does the output(s) focus upon?

Please tick one or more of the following options (see Annex B for definitions).

Leave blank if not applicable

Smallholder rainfed humid	Irrigated	Wetland rice based	Smallholder rainfed highland	Smallholder rainfed dry/cold	Dualistic	Coastal artisanal fishing
X	X	X	X	X	X	X

9. How could value be added to the output or additional constraints faced by poor people addressed by clustering this output with research outputs from other sources (RNRRS and non RNRRS)? (**max. 300 words**).

Please specify what other outputs your output(s) could be clustered. At this point you should make reference to the circulated list of RNRRS outputs for which proformas are currently being prepared.

Value could be added to a cluster of up-scaling process outputs by aggregating findings contrasting and comparing recommendations and generating a synthesis of best methods. Candidate members of this cluster are suggested below. Scaling-up processes are central to the activities of RIUP. Pulling together what has been learned through RNRRS projects and elsewhere into a solid base from which to test the most effective scaling-up methods could significantly contribute to the success of RIUP. The framework developed in the R 7865 project could provide a way of assessing the findings and methods developed by other projects in the cluster. The framework could also provide a means of ex-ante and ex-post assessment of the up-scaling process to be implemented through RIUP.

Crop Protection Programme:

Communication Strategy for East African Semi-arid systems. R8428, R8349, A Sutherland.

Accelerated uptake and impact of CPP research outputs. R8299, R8219, R8296, R8041, R7813, R7472, R7403, R6764, CABI-ARC Dr Sarah Simons CAB International Nairobi s.simons@cabi.org Tel: 254 2 524450/62

Linking demand for agricultural information with its supply. R8281 (first phase), R8429 (extension phase) Barry Pound, b.pond@nri.org

Increasing effectiveness of research system. R8410, University of Reading, Dr Savitri Abeyasekera, s.abeyasekera@reading.ac.uk 0118 378 8459

NRSP:

Scaling-up through uptake promotion. R8381, Nuhu Hatibu, ASARECA, n.hatibu@cgiar.org

Scaling-up through communication. R8363, Graham Haylor NACA STREAM, Thailand ghaylor@loxinfo.co.th

Animal Health Programme:

Influencing animal health policy in Africa (through dissemination of research findings). R7596, R8318, Sue Welburn sue.welburn@ed.ac.uk

Validation

B. Validation of the research output(s)

10. How were the output(s) validated and **who** validated them?

Please provide brief description of method(s) used and consider application, replication, adaptation and/or adoption

in the context of any partner organisation and user groups involved. In addressing the “who” component detail which group(s) did the validation e.g. end users, intermediary organisation, government department, aid organisation, private company etc... This section should also be used to detail, if applicable, to which social group, gender, income category the validation was applied and any increases in productivity observed during validation (max. 500 words).

The scope of the project did not include a post-project validation process as it was a short-term conceptual assignment. However, at an early phase of the review an electronic discussion platform was established with 38 participants from different institutional backgrounds (NARS, CGIAR, NGO's and universities) with the aim to share findings and ideas from an early stage.

A 3-day mid-term workshop was held with participants from relevant projects in Nepal, Uganda, Bolivia, Colombia, UK and the Philippines. During this workshop the draft framework was discussed and important elements of such a framework were identified.

Additionally, in parallel with the R7865 review, scaling-up strategies were directly investigated in a multi-country study, R7866. Through a case study approach on seven projects in Bolivia, Nepal and Uganda, the factors important to the facilitation of scaling-up of promising land management practices were identified and analysed. 'Best option strategies' were developed and then tested with development projects in Bolivia. In an initial stage of R7866 the scaling-up framework was presented and discussed at an in-country workshop with a range of national stakeholders (NGO's GO's, etc.).

R Number: R7866

Project Title: Up-scaling field level pilot research experiences

Author(s): Middleton, Tabitha and Ellis Jones, Jim

Start and Finish Dates: Nov 2000 – Mar 2003

The framework also contributed to the conceptual preparation of R 7820, Analysis and implementation of pro-poor uptake pathways: concerted action on livestock and livelihoods - CALL project (Bolivia, Brazil, Mexico, Peru).

R Number: R7820

Project Title: Analysis and implementation of pro-poor uptake pathways: concerted action on livestock and livelihoods - CALL project (Bolivia, Brazil, Mexico, Peru,)

Author(s): Rushton, J (Dr) – CEVEP

Start and Finish Dates: Oct 2000 – Dec 2005

11. Where and when have the output(s) been validated?

Please indicate the places(s) and country(ies), any particular social group targeted and also indicate in which production system and farming system, using the options provided in questions 7 and 8 respectively, above (max 300 words).

Both projects mentioned above focused on marginalised communities in small-scale production systems, which were mainly classified as hillside agriculture. However, lessons learned from these projects have not been fed

back into the R7865 project framework.

Current Situation

C. *Current situation*

12. *How and by whom are the outputs currently being used? Please give a brief description (max. 250 words).*

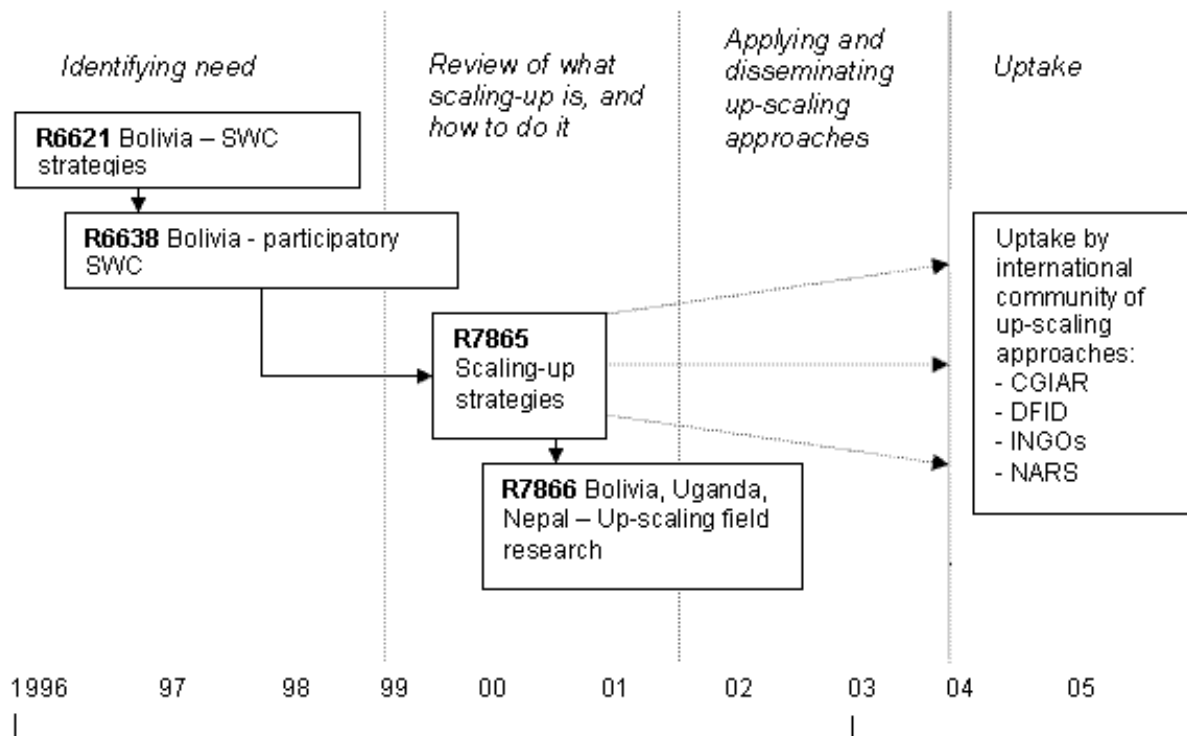
The output of R 7865 has been classified in Section A as a process or a conceptual framework which is less clearly traceable in terms of its use than a technology. Most outputs listed under RIUP can be classified as product-oriented. Knowledge-based or conceptual outputs on the other hand are not as visible and clear-cut in terms of their uses.

The aim of the framework was to inform and feed into ongoing discussion processes on research impact and uptake for poor and marginalised communities. In this respect the scaling-up framework has informed the further development of NRSP's strategy for communication and scaling-up (see DFID–Natural Resources Systems Programme (DFID –NRSP) 2002, Scaling-up and communication: Guidelines for enhancing the developmental impact of natural resources systems research, 8 pp. <http://www.nrsp.org.uk/database/documents/1435.pdf>).

The framework was the main output of the Bolivia Suite 2 of NRSP. This Suite investigated the process of scaling-up, raised awareness of the concept and encouraged the development of a scaling-up requirement in other DFID/ Renewable Natural Resources Research Strategy (RNRRS) programmes. The raising of awareness in DFID can be seen in the requirements made mandatory from 2003 for developing impact pathways for most research projects.

The diagram below visualises the uptake pathways of R 7865:

Project links within Bolivia Suite 2: 1996-2005



Other organisations that have been in contact about the framework include the World Bank, CIAT, ILRI, and FAO-SARD as all of them are faced with the same challenge to scale-up impact and to better address the poor. However, it is difficult to say to what extent the R7865 framework has been used in their strategy development.

13. **Where** are the outputs currently being used? As with Question 11 please indicate place(s) and countries where the outputs are being used (**max. 250 words**).

International organisations that interacted with NRSP and adopted 'scaling-up' procedures and terminology included:

- Kenya Forestry Research Institute (KEFRI).
- Association for Strengthening Agricultural Research in Eastern and Central Africa (ASARECA): scaling-up is built into its Sub-Saharan Africa Challenge Programme.
- Sustainable Agriculture and Natural Resource Management Collaborative Research Support Program (SANREM-CRSP): funded by USAID with research in the Andes, South-east Asia and West Africa with a global decision support office in the US.
- The Sustainable Soil Management Programme (SSMP), Nepal: funded by Swiss Agency for Development and Cooperation (SDC).
- Centre for Development and Environment, University of Bern, Switzerland.

NRSP research in this Bolivia Suite 2 on scaling-up strategies also contributed to international efforts to better measure the development impact of projects (e.g. the numbers of people affected and how livelihoods have been improved). (Source: NRSP Node: Suite Summary, Bolivia: Strategies for scaling-up (<http://www.nrsp.org>).

uk/6_2_2.aspx)).

14. What is the scale of current use? Indicating how quickly use was established and whether usage is still spreading (max 250 words).

This is not possible to quantify at this point as it is a long-term process of institutional change and no M&E mechanism has been designed to collect information on this issue.

15. In your experience what programmes, platforms, policy, institutional structures exist that have assisted with the promotion and/or adoption of the output(s) proposed here and in terms of capacity strengthening what do you see as the key facts of success? (max 350 words).

Promotion has mainly taken place through a range of publications, which either referred to the framework (1), or through other publications which published extracts of the R 7865 findings (2). The multitude of different organisations and individuals engaged in the scaling-up discussion has strongly contributed to the promotion of the R7865 framework. For details see below:

(1)

- World Bank (2003) Scaling-Up the Impact of Good Practices in Rural Development-A working paper to support implementation of the World Bank's Rural Development Strategy; Report Number: 26031, June 2003, Agriculture & Rural Development Department, World Bank
- Simon E. Cater and Bruce Currie-Alder (2006) Scaling-up natural resource management: insights from research in Latin America. *Development in Practice, Volume 16*, Number 2, April 2006
- P. C. Sanginga; R. Best; C. Chitsike; R. Delve; S. Kaaria, and R. Kirkby (2004) Enabling rural innovation in Africa: An approach for integrating farmer participatory research and market orientation for building the assets of rural poor; *Uganda Journal of Agricultural Sciences*, 2004, 9:942-957; 2004 National Agricultural Research Organisation
- Rees D J, Imairit-Oumo, F, Nangoti N, Okwadi J & Okurut-Akol H, 2004. Design & implementation of a communication strategy for agricultural research in Uganda – Experiences & Lessons Learnt. *Uganda Journal of Agricultural Sciences* 9(1), 132-136, http://www.asareca.org/swmnet/publication/discussion_papers/DiscussionPaper3.pdf
- Nuhu Hatibu (Ed) (2005) Scaling-Up and uptake Promotion of Soil and Water Management Research Outputs in East and Central Africa, Constraints & Barriers; SWMnet Discussion Paper 4, October 2005; ICRISAT Regional Office for East and Southern Africa
- Nuhu Hatibu and Anthony M. Kilewe (eds) (200) Institutionalized Scaling-up and Uptake Promotion of Outputs from Soil and Water Management Research in East and Central Africa, Literature Review, SWMnet Discussion Paper 3; July 2004; ICRISAT Regional Office for East and Southern Africa

(2)

- Gündel, S.; Hancock, J. and Anderson, S. (2001) Scaling-up strategies for research in natural resources management - a comparative review - Chatham, UK, Natural Resources Institute (English and Spanish)
- Sabine Gündel, Jim Hancock and Simon Anderson (2001) A project design framework for scaling up NRM research; LEISA India September 2001 Vol. 3 No.3 <http://www.amefound.org/Leisa%20india-pdf/Vol.3%20No.3.pdf>
- Sabine Gündel, Jim Hancock and Simon Anderson (2001) A Framework for Scaling Up Research on Natural Resource Management, Paper 46, in Participatory Research and Development for sustainable agriculture and natural resource management: A sourcebook; Volume 2: Enabling Participatory Research and Development; Edited by Gonsalves et. al, CIP-UPWARD/IDRC 2005; http://www.idrc.ca/en/ev-85091-201-1-DO_TOPIC.html
- DFID Livelihoods Connect; Scaling-up and communication strategies; http://www.livelihoods.org/static/sgundelNN_211.htm

Current Promotion

D. Current promotion/uptake pathways

16. Where is promotion currently taking place? Please indicate for each country specified detail what promotion is taking place, by whom and indicate the scale of current promotion (max 200 words).

Research commissioning emphasises the need for increased pro-poor impact and research efficiency. This shift in commissioning can be seen as indirect promotion pathway. It would be impossible to single out the source of information and knowledge of scaling-up processes contributing to this recent change in perspective, however, as mentioned in Section C 12 the scaling-up framework has influenced NRSP's strategy for communication and scaling-up and one could argue that in general DFID's research commissioning process has been influenced by existing knowledge and information on scaling-up, including the R7865 framework.

The design of RIUP could be seen as a further indication of this change in research commissioning, as a great proportion of its emphasis is on scaling-up strategies and institutional learning.

17. What are the current barriers preventing or slowing the adoption of the output(s)? Cover here institutional issues, those relating to policy, marketing, infrastructure, social exclusion etc. (max 200 words).

As identified and described by Hatibu (2005) the main barriers can be summarised as:

i) Policy and strategy documents of government ministries, departments and relevant organizations, recognize and put a lot of emphasis on ensuring that results from agricultural research reach the farmer. However, this emphasis has not been turned

into action.

ii) The role of research systems in uptake promotion is not recognized due to mind set on uni-directional dissemination of results from research to extension to farmers. Therefore, only a limited amount of time and budgets are allocated to project activities concerning communication, uptake promotion and scaling-up of research results.

iii) The majority of researchers are not adequately trained for communication and uptake promotion. They consider this to be the main reason for the little communication and uptake promotion currently being implemented by researchers.

iv) Monitoring and evaluation of projects do not include assessment of uptake, utilization and impact of research results. Therefore, rewards and incentives such as salary increments, promotion and prizes do not demand evidence of utilization and impact of research activities.

18. *What changes are needed to remove/reduce these barriers to adoption? This section could be used to identify perceived capacity related issues (max 200 words).*

Adapted from Hatibu (2005) the main changes required are outlined below:

i) ***Development and implementation of effective scaling-up strategies:*** Research organizations should design and implement strategies and provide adequate funding for knowledge management, uptake promotion and scaling-up.

ii) ***Strengthening communication between researcher and target groups:*** Researchers should fully participate in uptake promotion and scaling-up activities as part and parcel of research projects and should package their results into products that target the different needs and circumstances of their stakeholders.

iii) ***Institutional learning and capacity building on scaling-up issues:*** Relevant organizations should implement a massive and intensive professional development programme on knowledge management, including prospecting and brokering. In addition, the training curricula of graduate programmes should be reviewed to include skills in communication, uptake promotion, and scaling-up.

iv) ***Establishment of effective M&E systems:*** Researchers should be required to produce proof of uptake and effective scaling-up of research results as part of the criteria for promotion, salary increments and other incentives. This would contribute greatly to an institutional learning process on how the up-scaling of research outputs can contribute to poverty reduction.

19. *What lessons have you learnt about the best ways to get the outputs used by the largest number of poor people? (max 300 words).*

Not applicable

Impacts On Poverty**E. Impacts on poverty to date**

20. *Where have impact studies on poverty in relation to this output or cluster of outputs taken place? This should include any formal poverty impact studies (and it is appreciated that these will not be commonplace) and any less formal studies including any poverty mapping-type or monitoring work which allow for some analysis on impact on poverty to be made. Details of any cost-benefit analyses may also be detailed at this point. Please list studies here.*

Not available

21. *Based on the evidence in the studies listed above, for each country detail how the poor have benefited from the application and/or adoption of the output(s) (max. 500 words):*

- *What positive impacts on livelihoods have been recorded and over what time period have these impacts been observed? These impacts should be recorded against the capital assets (human, social, natural, physical and, financial) of the livelihoods framework;*
- *For whom i.e. which type of person (gender, poverty group (see glossary for definitions) has there been a positive impact;*
- *Indicate the number of people who have realised a positive impact on their livelihood;*
- *Using whatever appropriate indicator was used detail what was the average percentage increase recorded*

No information available

Environmental Impact**H. Environmental impact**

24. *What are the direct and indirect environmental benefits related to the output(s) and their outcome(s)? (max 300 words)*

This depends on the research aims and objectives. The framework offers a vehicle for scaling-up independently of the type of research outputs.

This could include direct benefits from the application of the technology or policy action with local governments or multinational agencies to create environmentally sound policies or programmes. Any supporting and appropriate evidence can be provided in the form of an annex.

25. *Are there any adverse environmental impacts related to the output(s) and their outcome(s)? (max 100 words)*

This depends again on the research aims and objectives. The framework offers a vehicle for scaling-up independently of the type of research outputs.

26. Do the outputs increase the capacity of poor people to cope with the effects of climate change, reduce the risks of natural disasters and increase their resilience? (max 200 words)

Applied successfully the poor will have an increased capability to adapt to the changing conditions caused by climate change as they will have **better access to knowledge and technologies**. Some examples of how the poor could better cope with extreme events through better access to existing knowledge include:

- Food production techniques are improved, with the implementation of adaptive agricultural strategies, such as: Improved crop reliability through genetic diversification (more tolerant, high yielding, drought-resistant, early maturing, and disease – and pest-tolerant grains); more effective/resilient pest and weed control; preservation of productive assets (seed banks, breeding livestock, tools and land)
- Resilience of the local environmental is improved through: ecosystem-based management and conservation, such as soil conservation practices, desalinization techniques, reforestation and grassland management.
- Reduced vulnerability to drought and climate-induced water shortages through: rainwater harvesting, greywater use, water conservation and other innovative water-use strategies; flood control management: coastal defence facilities and use of local vegetation as buffer (e.g. mangrove protection belts)
- Community linkages improved: increased support for local adaptation initiatives through decentralised structures: Added support for new and traditional means of enhancing livelihood resilience; strengthened community- and ecosystem-based management and networks, coordinated with a wide range of actors to achieve effective