Communication Methods and Scientific Advocacy.

A Training Workbook

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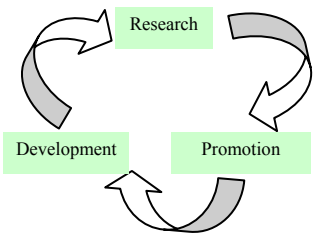

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Part I

Introduction

Course Rationale, Purpose and Methodology

Part 1: Introduction

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Describe the objectives of the course and how the issues and skills explored potentially contribute to a stronger link between research and development
2. Describe the course outline
3. Explain the rationale for each course component
4. Understand the reasons for the variety of training methodologies employed

1.1 Course Rationale

This course is a response to a key concern of researchers and funders of research; that apparently relevant and valuable research findings are not taken up by policy makers and development practitioners. The course seeks to address this issue by examining: the nature of scientific communication and learning; the processes by which research results find a pathway to policy makers and end users; and how course participants (you and your fellow researchers) might develop and implement strategies to promote the results of their own research projects.

1.2 Overview of Course

This five-day course has been designed specifically to:

- provide new information on communication methods and scientific advocacy
- check understanding of key issues associated with communication and advocacy
- move beyond dissemination to strategies for promotion
- build influencing skills appropriate to a variety of audiences, including individuals, groups and the general public
- develop promotion strategies for particular research projects
- support promotion strategies through the development of Personal Action Plans to improve performance in their implementation
- initiate a process of monitoring and evaluation
- provide a forum for networking and exchange to share experience and encourage the diffusion of innovative approaches for the promotion of valuable research results

The course will contextualise theories and concepts and provide you with practical tips and suggestions, together with “how to” toolkits.

Trainers will work as much as possible with your project material. It is therefore helpful if you have with you your project logical frameworks, your current promotion strategies or any information on your promotion efforts, any video, TV clips or radio interviews your project has produced/been involved in, and any other project documentation you wish to share.

Exercise 1: Hopes and Fears

Take a few minutes to think about how you are feeling at this time and what you are hoping about the process and outcomes of the course.

Write down one or two things you hope this course will achieve for you and any concerns you have.

HOPES ☺	*CONCERNS* ☹

1.3 How to use this Workbook

1.3.1 Read as much as you can of the workbook (WB) prior to attending the workshop. The more you can familiarise yourself with the materials contained in the WB the more you will be able to maximise the benefits of the training.

1.3.2 You should read the relevant WB sections before each session. Trainers will advise you which sections should be read for each consequent day. Before you arrive, be sure to read Part 1.

1.4 How the Course will run

1.4.1 Some materials/ideas contained in the WB may already be familiar to you, and you may feel that you already 'know' them. We ask you to have an open mind, be prepared to 're-visit' these materials and ideas and to discuss them in the light not only of your experience, but of others' experiences. There will be times during the course when, given your particular experience, you may take on the role of a resource person. At other times you will be the learner, open to other different and new ways of doing things.

1.4.2 You will find that during the course you may be gently nudged out of your comfort zone. You may not always like this as you will find yourself in unfamiliar territory, working with ideas and dynamics that are either new to you, or to which you do not subscribe. However, this is a challenge which we hope you will take up. Indeed, gently pushing people out of their comfort zones is what you may have to do to others as part of your research promotion efforts.

1.4.3 The course will capitalise on your and other researchers' experiences to maximise group and individual learning potential and exchange. You will work closely with your project colleagues in developing a Promotion Strategy Matrix for your project. You will also work with researchers from other projects on common themes, addressing problems and sharing promotion lessons learned. Trainers will ensure that you have sufficient time to share project experiences with, and learn from, your fellow researchers.

1.4.4 You are advised to keep a 'learning diary' to note down the key learning points of every day and how you could apply these to your work. These notes will be relevant when you make your final presentation to the whole group to describe your

promotion strategy and the actions you intend to take to ensure its implementation. The structure and components of this promotion strategy are described in Part II of the WB.

1.4.5 There will be evening 'surgeries' on topics selected between participants and trainers. Some of these will be facilitated by trainers; however, it is also hoped that participants will volunteer to talk about specific aspects of their research promotion experiences, lessons learned, successes and points to consider during these evening sessions. This is to maximise the potential for inter-participant learning.

1.4.6 Rules for the course: a code of conduct for the course will agreed between participants and trainers on day one. This will be up for negotiation but will probably address issues such as timeliness, participation and respect for others.

1.5 Post-Course Mentoring

It is possible that some projects will benefit from ongoing **mentoring.** This mentoring will be carried out by IMA trainers through email/telephone communication and is available to selected FRP projects which are not closed or about to close. A dedicated web-page "notice board", will be developed as a space for open question and answer sessions, where key exchanges can be recorded.

The mentoring will enable key IMA trainers to maintain contact with project leaders and team members in order to facilitate the implementation and impact monitoring of promotion strategies developed during the course. Training Facilitators will become mentors and jointly track the progress of the research project with regard to the identification of promotion opportunities, the application of new skills in response to these opportunities and the monitoring of results. The mentoring does not necessarily need to be comprehensive (ie covering all aspects of the project) - the mentor could work alongside the project team to help develop promotion strategies for a small number of project findings only. The nature and focus of the collaboration will be jointly agreed between IMA and the Project Teams. The Promotion Strategy Matrix developed during the course will be considered as central to the initiative and further developed through the mentoring process.

The focus of the assistance will be to contribute to or to achieve changes in policy related to the developmental value of the research.

The key ideas for mentoring will be discussed with all participants during the course so that a mentoring proposal which is of real use and value to FRP researchers can be agreed.

1.6 Introducing FRP Projects

This task is an essential introduction to the course. **Prior to attending the course, project participants are asked to prepare a 10 minute presentation about their project to be delivered verbally on the morning of Day 1**. We need only ONE PRESENTATION PER PROJECT. The presentation should be in Spanish. It is up to you and your project colleagues to decide how you prepare for this and how you actually deliver the presentation. It can be delivered by one person only (not necessarily the project leader), or by various participants together. In terms of equipment for your presentation you will have access to a laptop, projector, flipchart and pens, OHP. Please complete the form in the front of your folder which you will receive on arrival at the course venue. Trainers will then know which equipment to get ready for your presentation.

The purpose of this presentation exercise is for all course participants and trainers to familiarise themselves with all projects represented on the course and their current promotion strategies, as early in the course as possible. This exercise will set the scene for identifying issues of common interest as well as specific challenges.

The ten minute presentation should be divided in to the following components:

1. Title, project structure your findings to date (2 minutes)
2. Development value of these findings (2 minutes)
3. Current project promotion strategy (6 minutes)

✍ **Exercise 2:** Please record your project presentation information in the spaces below. Whatever you include will be incorporated into the Promotion Strategy Matrix you will develop during the course.

1. Title, project structure and outputs

2. Development value

3. Current project promotion strategy

Part II

DEVELOPING A PROMOTION STRATEGY

Session 2.1

The Development Value of Research

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Discuss the relevance of development performance as a measure of research value

2.1.1 Introduction

Many donor agencies are concerned to see that research investments deliver developmental returns. For example the UK's Department for International Development (DFID), in examining its Renewable Natural Resources Research Strategy (RNRRS) has identified three key weaknesses in process, which are linked to the poor uptake of research:

1. Researchers are hesitant to engage in active dialogue with relevant non-scientific stakeholder groups (which are clients for the research findings) early on in research projects. This is partly because of a lack of knowledge on how to engage key actors during the research planning process as well as how to create local ownership through early sharing of information and outputs.
2. Researchers may be familiar with the production of outputs for a scientific audience but are less familiar with presentation methods which are appropriate to other audiences.
3. In the absence of early dialogue, there is a lack of knowledge about culturally appropriate ways to stimulate a decision-taking audience into positive action.

2.1.2 The Criteria of Demand

According to DFID, research should be linked to demand and demand can be said to exist where (all of) the following criteria are satisfied:

a) A **development opportunity** or a strategic constraint to the sustainability of rural livelihoods can be described with an explicit measure of the scale and nature of the benefit to be achieved from the creation and use of new knowledge.

b) An identifiable **community of beneficiaries** can be described, representatives of which have participated in defining their needs. There is mutual understanding between researchers and beneficiaries.

c) One or more **client institutions** has been identified and has explicitly agreed to be partners in the uptake and application of new knowledge. For the Renewable Natural Resource Research Strategy for example, such clients may include:

- Donors and their advisers.
- National Research and Extension Systems.
- Multilateral and bilateral development agencies.
- International financial institutions.
- Developing country government resource management and policy departments and associated public sector institutions.
- NGOs, either national or international; formal and informal.
- International agricultural research centres.
- Producers and producer organisations.
- The private (commercial) sector.

d) The research project objectives fall within the **regional or country priorities** of one funder (as expressed in Country Strategy Papers or other strategies), or be clearly identified within partner countries' National Development Plan priorities.

e) The new knowledge to be created should have a **strategic value** and be capable of adoption (application) more widely.

Note that within these criteria **client institutions** are those formal or informal institutions which take up (and sometimes transform) the findings of research or transfer knowledge to others. Target institutions may also sometimes be the end users of research findings. These target institutions utilise the results of research to achieve developmental impact.

Beneficiaries (end users) are those poor or marginalised people who gain social, economic or environmental advantage from the activities of the target institution. They may be identified in, for example, the household, the village community or the global community.

Exercise 3: Demand Assessment Exercise:

Consider your own research project in the light of the demand criteria described above.

a) For your own project, describe the **development opportunity** (or the strategic constraint to the sustainability of rural livelihoods to which it relates) - with an explicit measure of the scale and nature of the benefit to be achieved from the creation and use of the new knowledge associated with your project

Development Opportunity	How to Measure Benefit

b) Describe an identifiable **community of beneficiaries**. Have they participated in defining their needs within the context of your project? Describe how mutual understanding between researchers and beneficiaries has been developed.

c) Describe one or more **client institution**, which has been identified and has explicitly agreed to be partners in the uptake and application of new knowledge associated with your project.

d) Do your research project objectives fall within the **regional or country priorities** of your funder (as expressed in Country Strategy Papers or other strategies), or can they be clearly identified within National Development Plan priorities? Explain how.

e) Explain how the new knowledge to be created by your project has a **strategic value** and is capable of adoption (application) more widely.

2.1.3 Ensuring Impact

If this is a new paradigm, then it is one which suggests that research projects must promote and assure application of research findings by client or target institutions. This position is based on the premise that constraints to use are most often removed by the actions of these intermediate users of research findings rather than the end users themselves. Many donors now encourage the identification of a widened range of client institutions, particularly NGOs for the promotion of the research findings. The assumption is that the most promising stimulus for application of research results is likely to be the direct involvement of client institutions in the planning and implementation of the research. Therefore, many donors require that client institutions are among the named collaborators who will agree formally to commit defined amounts of staff time and other resources to research programmes.

Learning Points Review

1. Apparently relevant and valuable research findings are not taken up by policy makers and practitioners
2. Researchers should consider the development opportunity, beneficiaries, client institutions, regional priorities and strategic value of research findings.

Session 2.2

Dissemination and Promotion of Research Outputs

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Consider the arguments for the promotion as well as dissemination of research findings
2. Give working definitions of key terms
3. Assess your own research project against key demand-linked criteria

2.2.1 Dissemination or Promotion: the Key Questions

In session 2.1 we established the arguments and criteria for assessing the development value of research findings. In this session, we consider whether uptake can be achieved through dissemination alone or whether researchers need to take a more proactive stance and 'promote' specific actions with regard to research results.

Defining what we mean by dissemination and promotion is relatively straightforward. **Dissemination** is essentially about the spread of information – using potentially a variety of means – **promotion** is about proposing a viewpoint and making its case with authority.

This course seeks to clarify these definitions and build skills in the art of both. It also intends to raise the debate about the appropriateness or not of promotion (or advocacy). This debate is long overdue and there is a case that research scientists really should take responsibility for expressing an opiniion, based on best evidence available. There is also a counter-argument that says that promotion and advocacy are the surest way to undermine a scientist's image as an unbiased authority on a subject, which in the end will prejudice an audience against listening with an open mind.

2.2.2 Working Definitions

Within the context of this course, **dissemination** should be understood to mean the distribution of information emerging from a research strategy. It can occur at project, programme and strategy level and has the objective of:

- ensuring that the relevant national and international science and development communities are well informed of the objectives, actions and results of research. The aim is to stimulate interest, use of the information provided, influencing co-operation and encourage further investment in the relevant area of work.
- ensuring that public awareness of the research programme is increased nationally and internationally, stimulating interest and support.

Promotion should be understood to mean the packaging of findings from one or more projects into a research output or product (policy, strategy, technology etc) of direct benefit to a target group. This is a process usually managed in collaboration with one or more client institutions, often locally based (for example - a donor country programme, government department, NGO, private sector organisation, civil society organisation). Longer-term relationships between project contractors, client institutions and end users are encouraged in the interest of sustainable and successful transfer and adoption of research outcomes.

It is also useful to consider the difference between promotion and advocacy. For the purpose of this course and briefly, **promotion** is any action desired and undertaken to encourage an active response to research findings and **advocacy** is a deliberate act or acts of influencing which are designed to cause a change in formal policy, law or a regulatory framework.

A **policy** is defined broadly as "a plan of action adopted or pursued by an individual, government or other party".

It is also important to make a clear distinction between **research findings** and **research outputs**. The latter is often used to refer to the briefings, conference papers, booklets etc produced during or after a research project. However, if these 'outputs' do not produce the desired action in response to research 'findings' then their relevance as a promotion tool is brought into doubt. Research findings refer to new knowledge or understanding determined through the research process.

2.2.3 The Project Process

Many research projects are initiated through the submission of concept notes and/or full proposals to donors who may emphasise the need for the following in order to facilitate promotion and uptake:

a. evidence of participation by beneficiaries
b. evidence of participation by client institutions
c. evidence of effective collaboration
d. equitable collaboration
e. links to development projects and international organisations
f. baseline data for monitoring progress towards developmental impact
g. project data to enter the public domain within two years of collection
h. promotion pathways by which the results of the research will be transferred to the intended beneficiaries
i. project "maturity workshops" or seminars in the latter part of a project to allow discussion of preliminary findings and to further stimulate uptake and application of results
j. training courses to supplement maturity workshops
k. a fully completed logical framework
l. plan for promotion and dissemination of research results

Exercise 4: Evidence of Project Process

How does your project meet the criteria listed above? Choose three criteria and describe how your project has met these criteria.

	Criteria	How met?
1		
2		
3		

Key Questions about Dissemination and Promotion

Key questions that may be asked at some point during the project process with regard to dissemination and promotion, are:

- how successful is your project at organising and disseminating research results?
- are you too removed from the organisations that might use the information you generate?
- do you feel that you should have had a greater impact on innovation and policy development?
- are you clear about who might use your research results and how?
- are you aware of how people access information?
- do you have an effective dissemination strategy for your project?
- does your strategy include a variety of methods e.g. posters, radio, demonstration, seminars?
- are you promoting your findings as a 'product' that can be used by client institutions to promote uptake?

Learning Points Review

1. Dissemination is not the same as promotion
2. To successfully impact upon development, researchers need a promotion strategy as well as a research strategy

Session 2.3

The Development Value of Research

SESSION OBJECTIVES *At the end of this session you will have:*

1. Understood what should be included in a Promotion Strategy Matrix for your project

2.3.1 Introduction

We have established that to achieve developmental impacts your project needs not only a good research strategy, but also an effective promotion strategy. During this session, we document how to develop a ***Promotion Strategy*** to promote specific research findings to particular stakeholder groups using appropriate methods.

To do this, you need to be clear about the following:

1. Your research findings
2. The developmental value of these findings
3. The action you wish to be taken in order to realise this value
4. The stakeholder groups you wish to involve in these actions
5. The methodologies you plan to use to promote these actions
6. How you will monitor the impact of this promotion strategy

2.3.2 Definition

We have already learned that promotion is the packaging of findings from one or more projects into a promotion product (policy, strategy, technology, etc.) which delivers direct or indirect benefit to the target group, a process usually managed in collaboration with one or more client institutions. The relationship between projects, client institutions and end users need to be fully understood and encouraged in the interests of successful transfer and adoption of research outcomes.

2.3.3 Methodology

During this course, your Promotion Strategy will be developed in the form of a matrix and will be specific to your own individual project. It will summarise the links between your key project stakeholders and your research findings and should clarify which methodologies you plan to use to facilitate this link and so promote uptake. You will find that varied methodologies will require you as the researcher to adopt a variety of roles. The matrix will also demonstrate that for research to make a difference, it must reach a varied audience in a variety of ways and require a different 'management strategy' or role to be performed by the researcher on each occasion. In Part VII of this workbook, we help build the skills you will need in these varied roles by looking at key tools and skills under three broad headings:

1. Practical Tools and Skills to Influence the Individuals
2. Practical Tools and Skills to Influence Groups
3. Practical Tools and Skills to Influence Masses

2.3.4 A Starting Point

Be aware that your Promotion Strategy will never be fixed and unchanging. A good strategy is one that evolves continuously. It is not always easy at the outset of a research project to identify who the key stakeholders are or what they can actually do in terms of policy, delegation or practical action. Nor is it always obvious how each should be approached and the role that the individual researcher should play if they

are to facilitate appropriate action and so initiate a process that leads to lasting change.

2.3.5 The Disappearing Point!

One of the challenges faced by scientific researchers with regard to promotion of findings is that often the best way to facilitate uptake is to 'disappear' into the matrix! In other words, researchers who adopt a low-key approach that enables other stakeholders to take ownership of new knowledge and act upon it often achieve the most in terms of developmental change. This is not always easy to accept or achieve, however, especially in a profession where visibility is not only generally encouraged – for example through publication rates and participation in conferences – but necessary for personal advancement and success.

Exercise 5: Discuss the significance of this last remark and ways in which this challenge might be overcome. Note key points made here

2.3.6 Missing the Point!

To make matters yet more difficult, the whole process of working with a wide variety of stakeholders is often conducted in an inter-cultural setting where the scope for "missing the signals" or "muddling the message" are magnified. Furthermore "silent messages" are often inseparably bound to power relations – yet these are often the ones which most need to be heard if research projects are to deliver developmental change and not just research results.

In Part VII of this workbook we examine intercultural differences as they affect our ability to influence individuals, groups and the public in general.

2.3.7 Next Steps

Once complete, your Promotion Strategy Matrix will be used to develop Personal Action Plans which will add indicators of achievement, activity and time dimensions to the promotion matrix. This will not only provide the basis for action but also for monitoring of that action.

2.3.8 First Steps

The table below shows a possible Promotion Strategy Matrix for a simple example provided as a guideline only. The matrix you produce during the course will be more comprehensive but still only a starting point. During the course, you will be defining different parts of your promotion strategy as well as considering tools and skills required to put your promotion strategy into action. Once acquired these skills may cause you to rethink your promotion plan.

A Promotion Strategy Matrix

	Stakeholders (Users, Intermediaries, Channels)				
Research Output	Minister (Policy Maker)	Research Group (Partner)	Village Leader (Influencer)	Extension Agent (Service (Provider)	NGO (Partner)
Finding 1			Promotion Strategy = Joint Training(channel to farmers)		
Finding 2			Promotion Strategy = demonstration		
Finding 3		Promotion Strategy = research paper			
Finding 4	Promotion Strategy =policy brief (policy makers convinced of need to act)	Researcher promotes policy change through other research groups. Promotion Strategy = Joint Workshop			

The table graphically shows the link (uptake pathways) between findings and stakeholders through processes (promotion strategies) by which specific information and knowledge will find its way from your research into practice. Note that when you develop your list of uptake pathways you will need to be more explicit about what training, what demonstrations, etc you propose to promote. Note that in this example, you do not have direct contact with the end user. Your key target is the policy maker or village leader who will support the initiatives started by your training for extension workers and other research groups.

2.3.9 A Step by Step Process

In the next sections of the WB, we will consider the various components of your Promotion Strategy Matrix in order to construct a framework which summarises your key approaches to promotion. The steps in this process are:

Step 1: Consider the **key findings** of your research which you believe you would like to promote (Part III).

> *Note that **findings** of one or more projects may include existing knowledge as well as new knowledge, and be formulated into a policy or strategy or technology, etc. relevant to the needs of a specified group of end users and in a form accessible to them.*

Step 2: Identify your **stakeholders** using the broad headings:
- Channel
- Intermediary - -
- End User (Part IV)

Step 3: Consider the methods you wish to use to promote these findings. These represent your **uptake pathways** (Part V).
Step 4: The completed table is a **Promotion Strategy** Matrix linking findings with stakeholders through clear strategic actions supporting appropriate uptake pathways. The skills you will need to facilitate uptake are explored in Part VII.

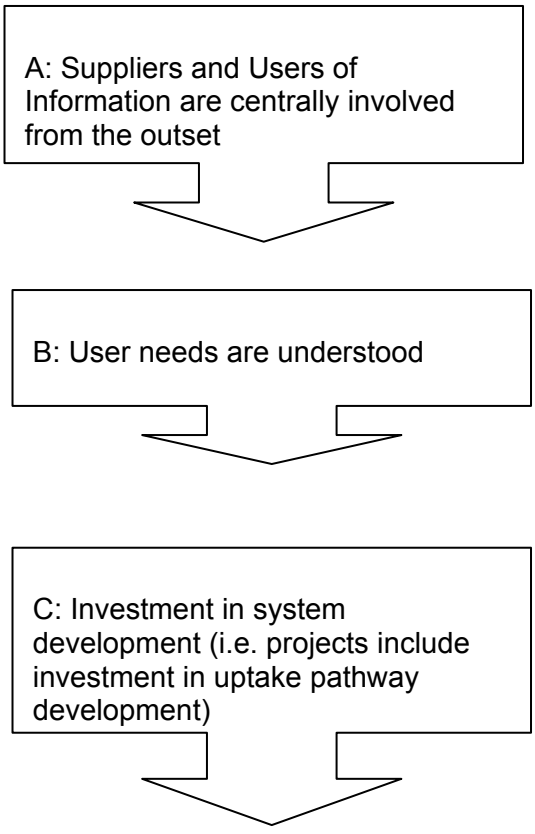
2.3.10 Conclusion: From research to innovation - a paradigm shift?

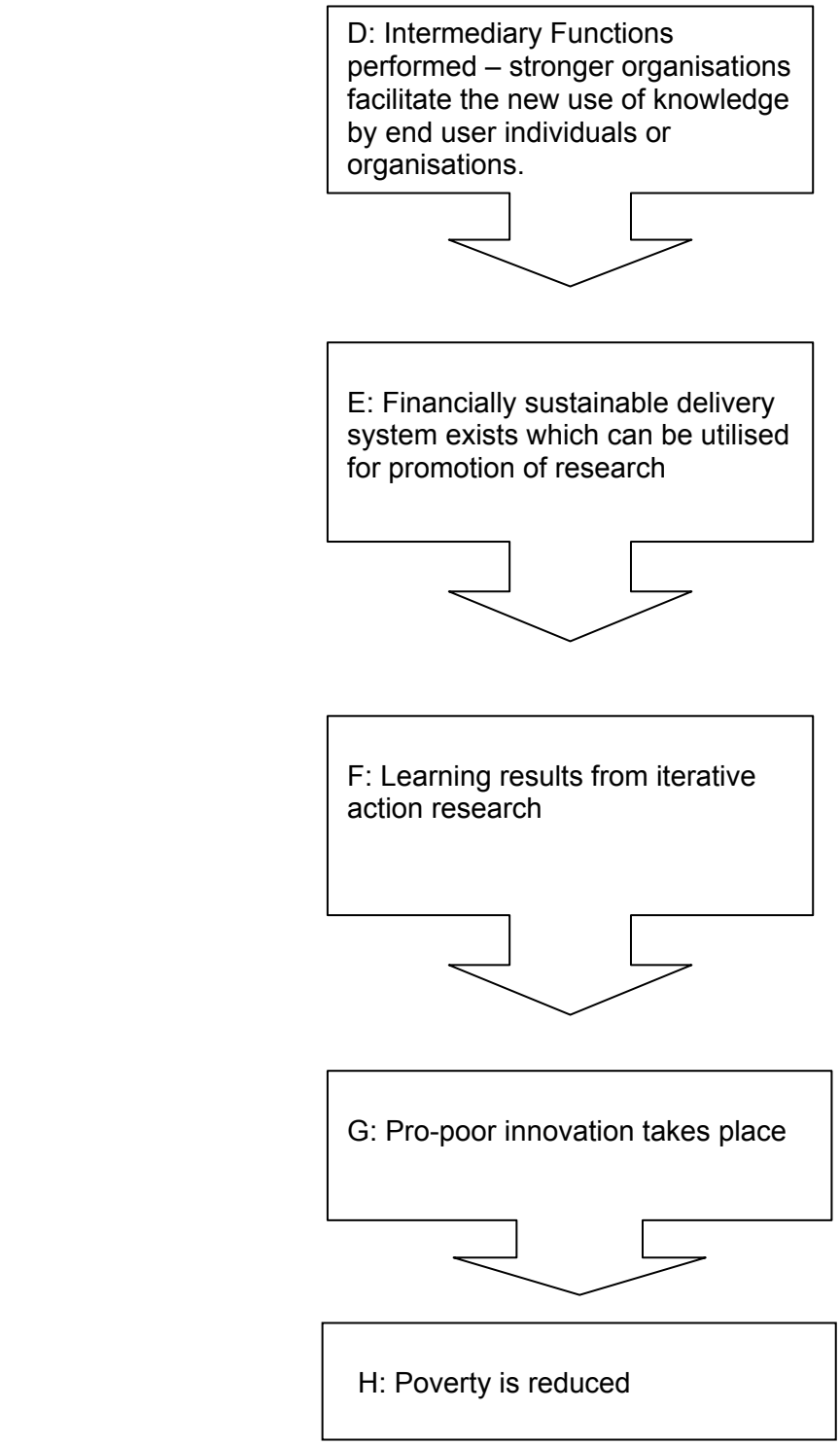
It can be inferred that by emphasising promotion of research findings we are arguing the need for a shift of focus from "research" to "innovation" – from learning to doing. By developing a Promotion Strategy, we are mapping diagnostically, the 'innovation system' or action plan associated with our research. Our uptake strategies are a response to the weaknesses and bottlenecks located within the system. It follows, therefore that if our strategy works, we can expect not only better uptake, but stronger systems, since our investments should improve many aspects of this system, for example:

- the mechanisms necessary to increase the demand side of the 'innovation equation'
- capacities to absorb and utilise new knowledge
- stronger intermediary organisations better able to make existing knowledge more accessible to users
- stronger formal and informal networks and trust – relationships ('social capital') between the various players central to the knowledge system
- infrastructure and framework conditions that support the innovation process

Thus capacity building is often central both to research promotion and sustainable developmental impact.

The flow diagram below represents graphically the key conditions that must be met if research is to deliver innovation through strengthening systems.





When the whole research process is managed in collaboration with one or more organisations, not only is the outcome more likely to be developmental but also the process strengthens these institutions and so contributes to the emergence of a sustainable delivery system.

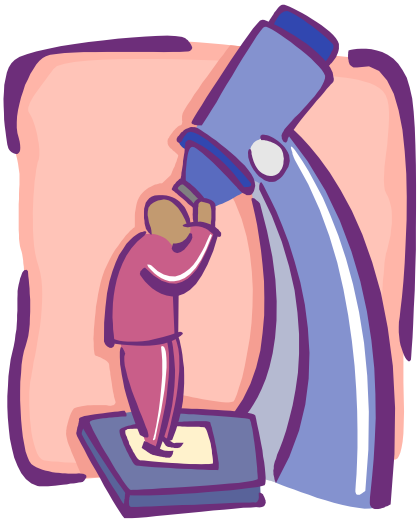
Promotion Strategy Matrix

The following framework can be used to draft a Promotion Strategy for your Project. You will find it easier if you follow the step by step guide that precedes this exercise.

	Stakeholders								
Research Findings	Channels			Intermediaries			End Users		

Part III

Scientific Research for Development



3.1 Science for Development

3.2 Culture, Belief & Behaviour

3.3 Ethical Research

3.4 The Language & Media of Science

3.5 Research Findings & Change

3.6 Communication Gaps in Research for Development

Session 3.1

Science for Development

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Describe the link between research methods and research impacts
2. Describe your own role as a scientist/researcher for development

3.1.1 Overview

In the Part 2 we established the paradigm shift from research to innovation and the need for stronger communication links between beneficiaries and researchers in order to secure definite development impacts.

The shifts in scientific research are considered further in this section in order to identify how this has affected the expectations and practices of researchers working for development. In addition, the specific stakeholder actions required to support the development impact of your research will be identified.

3.1.2 Research *for* Development: Linking Purpose & Methodology

There have been distinct shifts in both science and development over the last 50 years. The esteemed rigors of scientific method were often somewhat disassociated from the purpose of research or impacts on the subject. Current trends, especially in the development arena require research methodology and its practical application to be explicitly and inextricably linked if scientific research is to retain its validity. The definitions below highlight these key points.

The Development Dictionary, (Sachs (Ed) 1996) critically considers science within the development context in terms of **relevance** and **accessibility**;
"*modern science appears akin to an imported brand of toothpaste…in our society however, the moment we find toothpaste unavailable, we return to neem sticks, or cashew or mango leaves, or mixtures composed of ginger, charcoal and salt. All excellent, locally available and dependable materials for keeping the mouth fresh and disinfected and the teeth clean*" (Claude Alvares, p 219).

The Oxford Dictionary defines **science** as:
"systematic and formulated knowledge….organised body of knowledge that has been accumulated on a subject"

The Oxford Dictionary defines **research** as:
"careful search or inquiry…by scientific study…of a subject through critical investigation".

"*Research and development – also known as R&D – derives from the concept of researchers who are in control of a pipeline for producing technological* ***innovations****: an idea goes in at one end of the pipeline, research develops a prototype, and then a fully developed product comes out, ready to be released to eager users, at the other end of the pipeline*" (Jacqui Ashby, p1).

3.1.3 Research *for* Development: Shifting Approaches

There have always been different conceptions of science around the world, however development has been criticised for ethnocentrisms and indeed was dominated by western modernist approaches for several decades after the Second World War. The challenge is to address the constraints that prevent research form being effective

whilst retaining the integrity of everything useful. Here are some words that may help polarise the current trends in research *for* development.

Reductionism	⏩	Holism
Disassociated	⏩	Integrated
Mechanistic	⏩	Systematic/ Organic
Exact/ Absolute	⏩	Indicative
Deductive	⏩	Emergent
Linear	⏩	Multidimensional
Ethnocentric	⏩	Participative
Extractive	⏩	Inclusive
Academic	⏩	Workable
Material	⏩	Socio-political
Independent	⏩	Interdependent

3.1.4 UK Research Funding

Historically Britain has maintained close links with her former colonies and much of the aid and development budget is still aimed at providing support to these economies. About half the UK aid budget goes to support bilateral development while the other half supports multilateral development through the EU and other international agencies. By 2005/06 there will be a £1 billion bilateral programme for Africa[1]. Since 1997, the UK development budget will have risen by 93% in real terms. The UK's level of official development assistance will reach 0.4% of gross national income by 2005/06, the highest for over 20 years. It is not yet clear how the research budget will be affected by the proposed increases in aid.

There is increasing criticism that there are too few researchers and scientists involved in developments aimed at bringing about larger scale social change and improved livelihoods. Indeed, the Royal Society recently reported that "DFID policy on natural resources science, for example, is concentrated mainly on small-scale highly specific projects, which have direct benefits for individual citizens. Although very valuable research, this restricted focus means that over-arching research is sidelined.[2]" This raises questions about what type of research should be funded and how it might be better promoted and advocated for wider impact.

3.1.5 The Role of the Development Researcher

Justifying why research is necessary for development helps us to prioritise the essential aspects of our role.

Discussion Question:
Is there a distinction between scientific research in general and 'research *for* development'?

[1] DFID Departmental Report Summary 2003. Highlights from DFID's Annual Report including key developments of 2002/3. This could mean up to £40million of new research money for Africa.

[2] Story from the BBC News, 13.01.2004. http://news.bbc.co.uk/go/pr/fr/-/2/hi/science/nature/3390213.stm

Describe your research role so that the need for greater development impact is addressed within the definition.

Learning Points Review:

1. There are different and shifting perceptions of science and development

2. In many instances, current scientific and research activity produces a communications gap between the researcher and the potential end user.

3. Researchers for development need to help bridge the gap between research methods and the means of securing impact through applications

Session 3.2

Culture, Belief & Behaviour

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Define culture in relation to behaviour
2. Identify the barriers to development impact that are inherent in some scientific beliefs & practices

One of the reasons why development impacts of research are not being fully realised may be inherent in the differences between the culture of scientific groups compared with user groups.

3.2.1. Culture: The Basis of Social Action

From birth, every individual builds up knowledge based both on hearsay and first hand experience. Each society has a history of finding practical solutions to every day problems and meeting their individual and group needs. Often there is more than one workable solution to meet any particular need and different groups may evolve different habits and preferences from other groups. By the time we reach adulthood much of what we have learned becomes sub-conscious and have developed perceptions about what is 'right'. Both deliberate and habitual behaviours of groups that we name 'culture' have become established through a history approaches working, and so they become deemed 'right', 'proven; 'true' 'comfortable' and 'natural'. Culture is the *basis of social action* and is comprised of '*shared belief, values, ideas, knowledge and appearances"* (Collins English Dictionary). Negotiation of different cultures is a vital consideration because securing development impact is about changing human behaviour.

3.2.2 Science and Authority

A scientist may have more confidence in the value of their findings than the user groups to whom a finding may make little sense. Scientists often speak with perceived confidence and authority. Charles Stewart[3] justifies this point in terms of a distinction between 'first order' and 'second order' rationality: First order rationality is the process an individual goes through when working out something for him/herself. Second order rationality is when we trust the process of working something out to someone else, and accept what we then learn from him/her.

Scientists may be tempted to put themselves in the first category since they objectively generate new information for themselves in controlled and reproducible conditions and may easily configure the shaman's healing ceremony or a community harvest ritual to the latter due to the reliance on figures with authority. The distinction however is not so clear and science often relies on the 'truth' extolled by others: Newton himself observed:

"I may have seen further than others but I was standing on the shoulders of giants."

The following case studies help illustrate this point:

[3] Stewart C (1991). Demons and the Devil: Moral Imagination in Modern Greek Culture, Princeton, New Jersey, Princeton University Press

Case Study 1: Unreliable Weather Forecasts

Weather reports and predictions are only 20 per cent accurate, and yet we are convinced of their veracity because they are based on 'scientific' method, and we are told about the accuracy of these methods by figures of perceived authority. Despite 80 per cent of weather reports being inaccurate, we still believe in the inherent logic behind meteorology because we are told about it by someone we think knows that it works.

Case Study 2: How do we Attribute Global Warming?

The following examples illustrate three different views of 'the truth' about global warming. Which is THE truth?

1 *A paper by a team of scientists at Imperial College, London published in the March 15, 2001 issue of Nature finds data from satellites provides the first "direct observational evidence" that the greenhouse effect is intensifying as a result of manmade greenhouse gas emissions.*

2 *Chris Essex, who studies the underlying mathematics, physics and computation of complex dynamical processes, raised some very fundamental scientific issues with regard to the science of global warming. Take, for instance, the "average global temperature", which is a mainstay of the debate. "You can't add up temperature and take its average like you can with physical quantities such as energy, length, and so on. Thermodynamic variables are categorised as extensive or intensive" said Essex. "Extensive variables occur in amounts… Intensive variables (such as temperature) refer to conditions of a system, defined continuously throughout its extent. For example, one could add the temperature of a cup of ice water to the temperature of a cup of hot coffee, but what does that number mean? It doesn't mean anything because there is no such thing as total temperature. Dividing that number by two to get the average doesn't mean anything either. Yet that is exactly what occurs when the average global temperature is computed."*

3 *"If you go back to the early 1700s you find that sea ice extent was about the same as it is now," said Chad Dick of the Arctic Climate Systems Study. The researchers also found that sea ice has declined by about 33 per cent over the past 135 years, but that most of that retreat occurred before significant manmade emissions of greenhouse gases. "The evidence at the moment is fairly inconclusive," said Mr. Dick. " While this evidence doesn't rule out that the current melting is due to man's greenhouse gas emissions, it certainly suggests that we're not outside the range of natural sea-ice cycles at the moment.*

It is important when conveying results of scientific research to individuals outside your field that distinctions between scientific 'fact' and 'superstition' or between rational and irrational are not over-emphasised.

Scientific 'truth' is also the product of a particular historical set of circumstances and cannot be glibly treated as superior or more logical than any other system of knowledge. The efficacy of a particular farming method based on its scientific merit may not be enough to convince farmers that you are right if within their own equally valid, logical and rational knowledge system, your idea does not make sense.

3.2 3 Inconsistent Science

Within scientific discourse, there may be differences of opinion, with each side able to demonstrate the 'truth' of their claim using scientific evidence. How can decision-makers decide which arguments to be swayed by, when presented with a variety of 'scientific' arguments advocating different approaches?

Case Study 3: Different Research Disciplines, one User

A farmer in Bangladesh was simultaneously advised to plant more trees around pond embankments by the Department of Agriculture (to boost fruit productivity and make maximum use of the soil), and cut down trees around the pond by the Department of Fisheries because the shade inhibits water fertility and thus reduces fish growth.

3.2.4 Science, Familiarity and Acceptance

People are usually resistant to change and fear what is unfamiliar. For example it is proven that jumping out of a moving plane with expert supervision is statistically quite safe but knowing that would not prevent most of us from feeling very nervous. Again this applies to both scientists and users who each have their own 'comfort zones'.

3.2.5 The Epistemological Gap

What constrains our attitude to change with regard to knowledge produced by scientific approaches? Some of the most common perceptions among the general public about science/scientists are described in the table below. You may wish to add your own. How do you think these influence the manner in which information and knowledge become available or adopted?

Exercise 6: Perceptions of Science How do you think the perception of science affects relations with the non-scientific community?

Characteristic/Perception	**Effect on Behaviour**
Objective and unbiased	
Rigorous and authoritative	
Academic, not practical	
Critical, without offering alternatives	
Subject to peer review and professional critique	
Requires the use of technology	
Particular language and vocabulary	
Competitive & self satisfying	
Contradictory	

What other opportunities or obstacles have you encountered (socio-cultural, political, economic, spiritual, institutional, historical) in relation to your objectives?

Learning Points Review

1. Culture describes the shared beliefs, values, ideas, knowledge, appearance and behaviours of a group.

2. Culture originates from real experience and provides a firm basis for social action

3. Development researchers need to have a sound grasp of the social development context in which they are working

4. Our findings may need to incorporate human and institutional dimensions of 'the truth' if they are to be applicable to development needs.

Session 3.3

Ethical Research

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Describe how conventional science and indigenous wisdom are interrelated
2. Produce a list of principles for ethical research

3.3.1 Ethical Research & Indigenous Wisdom

Ethics, science and culture are intertwined. The conventional approach to research in the natural sciences has been that it is devised to try to reduce and control variability in order to contain or minimise negative impacts. "New approaches to adaptive natural resource management (NRM) involve social and organisational, as well as technical, change. However, recent research has highlighted the value of traditional as well as new, modern local institutions to sustainable resource management – and this evidence has contributed to a forceful critique of the neglect and destruction of local resource management institutions by central government interventions, often leading to worsening resource depletion." (Ashby in Pound et al (2003), p4)

Does this mean that our approach to natural scientific research is changing to better encompass local 'truths' or is indigenous knowledge still given a much lower value by researchers?

Gail Stewart[4] has suggested; "*that we have embedded in our culture and our mind-set the fundamental error of subsuming the environment to human society and not human society to the environment".*

Rocheleau (2003) continues; "*we need to further explore what it means to work with and for people, rather than just study and write about them, or dream up new technologies and new rules for them*[5]."

Exercise 7: Provide an example from your own experience of a research project/ programme that has:

a) Identified and acknowledged where Indigenous Technical Knowledge exists.

b) Negotiated how that knowledge could be used to benefit the project outcome. E.g. actually engaged local knowledge experts into the project and demonstrated that the two approaches can be successfully linked. Given explicit representation and recognition of both.

[4] cited in Ryan, W. F. 1995, *Culture, Spirituality, and Economic Development*, IDRC, p 29.
[5] Rocheleau D E (2003) Participation in Context: What's Past, What's Present, and What's Next? in; *Managing Natural Resources for Sustainable Livelihoods*, (Pound B, Snapp S, McDougall C, Braun A (eds.), p181.

3.3.2 Principles of Ethical Research

To enable people to both realise new opportunities from the research, as well as act on these to improve their own livelihoods both researchers and end users should be involved in each stage of the project. Local 'truth' may contribute towards the quality of research and will also affect how research findings are interpreted for action or inaction.

A number of tentative principles for ethical and effective research have recently been proposed [6] and these are presented below:

- Researchers should conduct research in a manner that respects the local community including its functions, its culture and its members' privacy;
- Researchers must maintain the accuracy and integrity of their data while allowing a process for the community to understand and provide input into the process, findings and conclusions;
- Researchers should seek to avoid harming a community and be sensitive to long term repercussions and conflicts surrounding negative assessments;
- Any research process that involves community groups must implement a methodology that provides both contributions and benefits for the community and the researcher.

Consider the case study presented below and then try to answer the questions at the end of this section.

Case Study 4: Conservation and Sustainable Use of Medicinal Plants Project, Sri Lanka[7]

In 1998 a GEF sponsored project began harnessing untapped Indigenous Knowledge on medicinal plants. Facilitated through the Ministry of Indigenous Medicine and IUCN the project:

- Documented ancient medicinal knowledge in a community-owned database and developed participatory approaches to conduct baseline socio-economic and ethno-botanical surveys
- Promoted the *in situ* conservation and cultivation of medicinal plants in local home gardens
- Put in place effective marketing techniques for herbal remedies derived from medicinal plants
- Transcribed ancient palm leaf manuscripts that contain information on diseases and their diagnosis, as well as prescriptions into Singhalese
- Established a programme to enable the bearers of traditional knowledge to transfer their skills to selected acolytes
- Created a legal and institutional framework for the protection of traditional knowledge through the development of a national biodiversity strategy.

[6] Firehock K, (2003) Protocol and Guidelines for Ethical and Effective Research of Community Based Collaborative Processes. A project of the Community Based Collaborative Research Consortium (CBCRC). Funded by the William and Flora Hewlett Foundation.

[7] IK Notes, No 61. October 2003. www.worldbank.org/afr/ik/default.htm

Exercise 8: Principles of Ethical and Effective Research

What criteria would you establish?

How would you assess compliance?

What implications do you think this would have on your research process?

What impacts would the application of these principles have with regard to other stakeholders?

Learning Points Review

1. Researchers have a duty to address the communication gaps that they have identified and communicate in ways accessible to end users.
2. Budgets are required for disseminating information and research findings.
3. Researchers need to work *with and for* people, rather than just study and write *about* them.
4. Research needs to be relevant to end users according to identified needs

Session 3.4

The Language & Media of Science.

SESSION OBJECTIVES: ***Upon completion of session 3.4 you will be able to:***

1. Describe how the language and media of science can exclude or disadvantage developing countries and end users.

3.4.1 Ethnocentric Language of Science

Science has its own particular way of doing, talking, and thinking about things based on a complex interaction between language, knowledge and power. Michel Foucault[8] argued that the world cannot be conceptualised in any way except through *language*. Control and development of language determines what becomes accepted as *knowledge*, and what is not. As a result, the control of accepted knowledge (orthodox) becomes the determination and control of truth. Generally, research and scientific findings are published in a "developed country" language (predominantly English, French, German or Spanish)

3.4.2 Means of Publication

Single subject book publications are beyond the scope of most researchers, as these require substantial new information on theory or empirical data, or both, to be made available for public consideration. More often, researchers will contribute to a collection of inter-related research topics for publication in book form.

For most non-native English speaking researchers, this requires knowledge about the publication formats, language style, vocabulary, publication timeframes, as well as contact details of those responsible for publication. Access to reliable communication media (e.g. international telephone, fax, email and web facilities) is essential. As a result most "developing country"- based researchers rely on joint authorship with scientists who are more familiar with these requirements or research institutes that already have good links with the publishers. Individual researchers (and even those in some research institutes) are required to find their own time – additional time outside of their work – to write for publication (which is not necessarily the same language which would best suit end users).

Discussion Questions:
How might these assumptions and circumstances affect the intellectual property rights of developing country scientists? Is there merit in joint authorship – or is there a bias in the system that needs removing?

3.4.3 Nature of Publications

- Publications cost money to purchase and purchase can normally only be made in an internationally accepted currency.

[8] Gordon C. (ed.), 1980. Power/Knowledge, Selected Interviews and Other Writings 1972-1977, by Michel Foucault, Hertfordshire: Harvester Wheatsheaf

- They are predominantly written in one major language (though this is changing slowly).
- They each have their own format and criteria for accepting contributors.
- They are usually peer reviewed and therefore papers may have to be edited several times prior to being accepted. This may cause a time delay of many months.
- Electronic publication has improved public accessibility and publication 'turnaround times' but these benefits are yet to become accessible to most developing country researchers.
- Contributors do not expect payment for accepted articles or papers.

3.4.4 Speed of Publication

To be effective, and attractive, research results must be timely and presented to those whom we wish to benefit from the research effort. This may cause a tension of interests between the researcher's individual use of the research findings – for purposes of furthering his/her career and gaining scientific kudos and the uptake of those same findings for livelihood improvement among beneficiary farmers and communities.

Timeliness for impacting practically on livelihoods of rural households and the timeframe for a scientifically acceptable standard of publication tends to differ significantly. For example, farmers and households who may have been involved and actively interested in the outcomes of a research intervention want to know how the results may be used to improve productivity in the next growing season or cropping season – after all a 10-20% improvement may be the difference between a child continuing in school or having to drop out. For the researcher however, while understanding this perspective, the dominant question may be, "how do I prove to the wider scientific community that what I have found out is objectively verifiable and valid?" In order to provide an internationally acceptable and justifiable outcome, the researcher has to "jump through the hoops" or over the various peer review and professional critique hurdles without appearing to have cheated along the way. Cheating might for example be defined as having previously published related material on the subject – even if this was for the benefit of other stakeholders in the project.

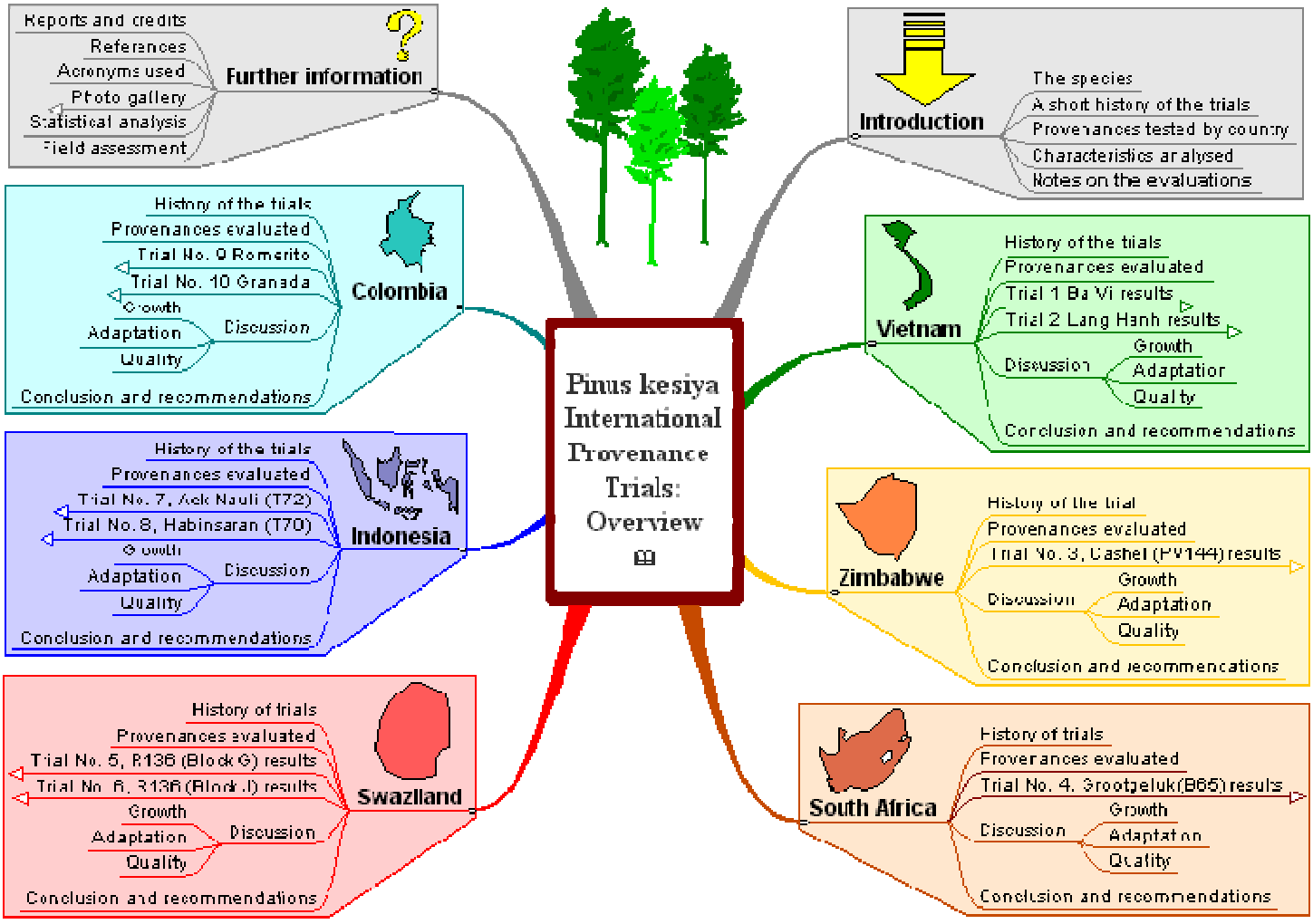
3.4.5 Electronic Modes of Information Dissemination

Times are changing and the electronic world is making our global knowledge more locally accessible and available. E-discussion groups, e-conferences and e-workshops on listservers around the world are beginning to provide an alternative to the traditional and still dominant media of printed journals and publications. As these expand and as modern radio and satellite telecommunication links become more common within the developing world we can expect to see an increase by several orders of magnitude in the levels of international knowledge sharing and information exchange.

Look at the extract from a web page in box 1 as an example of new presentation styles and access formats. It is important to remember however, that there are still many stakeholders who are likely to remain excluded if additional promotion methods are not employed.

Box 1:Example from a webpage

Pinus Kesiya International Provenance Trials: Overview



Click on branches to go to pages. If this is your first visit, please go to the Introduction first.

Please send your comments to Danida Forest Seed Centre. This document was updated 10/20/2003.

Learning Points Review

Meeting the standards set for a scientific publication is in the interest of the researcher, but is not necessarily in the interest of the beneficiaries.

Dissemination pathways and media need to be made more accessible to researchers in developing countries, and even more so to potential end users.

The dominant power relations of donor commissioned research strategies, research institutes and publication houses may negatively affect intellectual property rights of peoples in developing countries.

Session 3.5

Findings, Development Value and Change

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Describe the link between research methods and research impacts

Having defined your research role as a driving force for prioritising and defining human and institutional change interventions, you will understand how important it is to define explicitly how you expect your work to be used. Change comes about through combined actions and reactions. What specific actions do you expect to be taken by various stakeholders for the development value of your findings to be realised? These may include new policies, regulations, technology adoption, organisation or user actions that could significantly impact on development. This critical question needs to be answered before proceeding with the nuts and bolts of a communications strategy.

Exercise 9: Review the key research findings you presented at the beginning of the course and describe the development potential of each and how this could feasibly be achieved.

Main Research Findings	**Developmental Potential**	**Actions Required to Achieve Development Value**
1		
2		
3		
4		
5		

Learning Points Review

1. Researchers for development need to explicitly define how they expect their findings to be used, and how this will in turn contribute value to development.

Session 3.6

Communication Gaps in Research for Development

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Identify gaps in the communication of research for development
2. Discuss the role of the researcher in addressing these gaps
3. Recognise that there is a broader development context in which you work

3.6.1 Communication - Players & their Roles

"The key insight is that if research is to have an impact, then it needs to be carried out in close proximity both to the users of the resulting knowledge, their clients and customers (p.5)."[9]

Within the context of much donor-funded research we can identify three key stakeholder groups:

- The research manager or commissioning body
- The research provider or organisations that are responsible for leading the research activities
- The research users, who may be sub-divided into a number of smaller beneficiary groups as appropriate.

Currently, the research manager may be one and the same as the commissioning body (e.g. Programmes within DFID's Renewable Natural Resources Research Strategy), or this role may be disaggregated, with the research manager providing the policy framework and funding and another contracted body providing the management of the budget within an agreed framework. Research communication here focuses on budgeting, framework objectives and how research project objectives contribute towards the research manager's overall research programme.

The research provider or organisation category tends to be independent for co-ordinating research registered bodies with the appropriate technical capacity. In the UK these bodies are responsible for keeping the research team together and applying for research monies as advertised by the research managers, and communicating with the research users (through email/telephone/site visits) in the global context in order to develop project designs which will address the objectives of the research programme.

The research users may be groups such as farming households, local government departments, central government agencies and line ministries, NGOs, locally based researchers and research institutes, and even private sector partners. Research communication here focuses on the inputs, research processes and outcomes of the intervention.

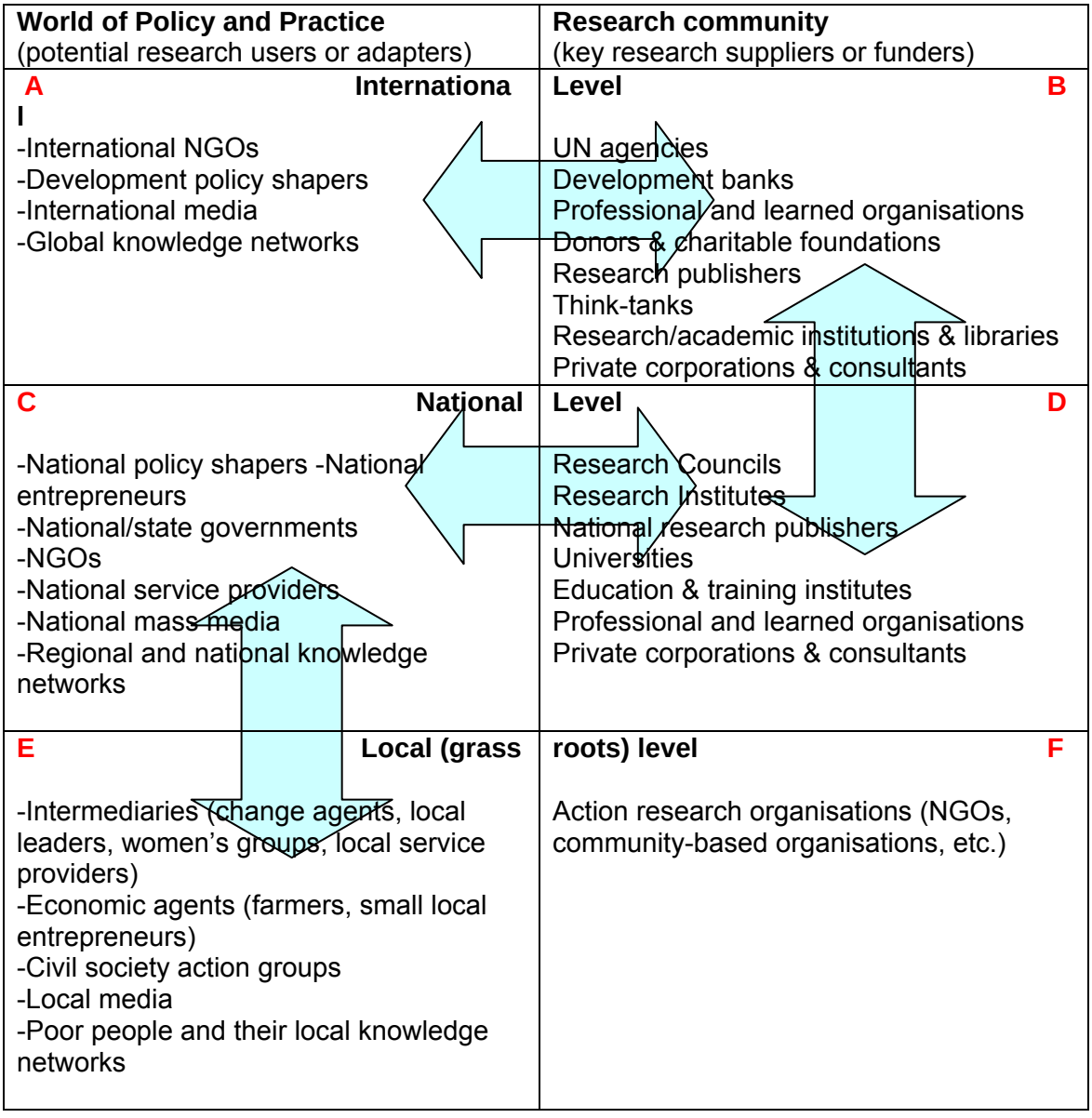
Discussion Question:
Who do you feel should be responsible for communicating research outcomes to policy makers and why?

[9] A Barnett, Draft text for policy brief. National Systems of Innovation, Research and Poverty Reduction, 28th August 2003.

3.6.2 International Research Communication Context: an example from DFID

DFID recently commissioned work[10] on a new research strategy and from this four key communication gaps were identified as being critically important for researchers to address in future in order to improve the likelihood of uptake and spread of research outcomes:

Figure 1 - Research Communication Context and Gaps[11]



[10] CIMRC/DFID (2003). New DFID Research Strategy. Communications Theme. Dodsworth E, Smith S, Biswas-Benbow I, Lloyd-Laney M, Young J, Winder D.

[11] Adapted from Dodsworth et al (2003)

Gap 1 (between boxes A and B in Figure 1)
Box A represents the international (global) policy and practitioner context and Box B the international research community. The majority of donors (e.g. DFID) commissioned research outputs to reach the academic research community, but communication between academia and development policy shapers, NGOs and the international media are weak.

Gap 2 (between boxes B and D)
Box B represents the international research community while Box D is the national level research community. While a few developing countries may have thriving and well-connected research communities at an international level, most poorer countries are not well connected to international research sharing and debates.

Gap 3 (between boxes D and C)
Box C represents the national level policy makers and practitioners and Box D the national level research community. On a national as well as international level there is a gap separating the research community (box D) from the worlds of policy development and practice (box C). Research outcomes are not communicated effectively and feedback loops that might help to identify further research needs are usually weak or non-existent.

Gap 4 (between boxes C and E)
Box C represents the national level policy makers and practitioners and Box E the local level end users of research. Within developing countries there is a fourth big gap – a language, literacy and often cultural gulf between those who commission the research and conduct the research studies, and the beneficiaries (e.g. poor rural households).

There are several practical & philosophical implications for research project designers & managers arising from the analysis presented in Figure 1:

- The need to 'ringfence' a specific budget for communication activities within a research project.
- The need to consider synthesising and presenting information from research at different scales and in different formats in order to satisfy different knowledge traditions.[12]
- The importance of providing research outcomes and findings in a timely manner for each major stakeholder and beneficiary – building in different levels of constituents for the uptake of findings and outcomes.
- The implication that communication is not just a 'one off' activity, but something that should be repeated 'little & often' using a variety of media in order to foster feedback, learning and uptake.
- That research is only one activity in a much broader frame of reference to do with innovation, development and change in society.

3.6.3 Sharing your Own Research Communication Experience

Can you provide one or two brief examples of best practice in communicating research outcomes from work in your own project?

[12] An issue highlighted by the Millennium Ecosystem Assessment initiative: www.millenniumassessment.org

Exercise 10: Best Practice Examples of Research Communication?

What was the topic/issue/research finding?

Whom did you communicate this to?

How did you communicate this?

What was the result (did you determine if this resulted in a permanent change in attitude/behaviour?

3.6.4 Conclusions

This section has demonstrated that our understanding of science and a scientific approach is influenced by perceptions which are themselves a product of culture and circumstance. This links also to the ethical questions of what we research, why and how easy it is to access the so-called 'media' of science. These issues affect whether and how we communicate our findings. These questions, including the skills associated with good scientific communication will be explored more fully in Part VII of the WB.

Learning Points Review

1. Researchers have a moral and professional duty to address the communication gaps that have been identified.
2. It helps to have a sound grasp of the development context in which you (as a researcher) are working, but it also helps to have money budgeted for disseminating information and research findings.
3. Research is only one activity in a much broader frame of reference to do with innovation, development and change in society.

Part IV

Stakeholder Analysis and Engagement

4.1 Stakeholder Analysis

4.2 Stakeholder Engagement

Session 4.1

Stakeholder Analysis

4.1.1 A Definition

Stakeholder participation is a vital element of any successful research strategy but often given insufficient attention. Knowing who has an interest and can contribute to the discussion around an issue or help make the research project work is important. Equally, it may be just as important to know who does not support your project and to think about if and how their interests need to be managed. It is often those who do not support your research findings and proposals that need most management. The participative process of consultation, in which all those with an interest in a project are given the opportunity to contribute to problem analysis and to project development, management, monitoring and evaluation, is commonly referred to as **stakeholder analysis**. Other terms in current usage - such as customer survey or public involvement - mean much the same thing or form part of the process of stakeholder analysis.

In summary: An analysis of stakeholders is generally undertaken to:

- identify those people, groups or organisations who have an interest in the research project either positively or negatively
- identify the form of their interest
- identify those who should be involved in the research project at different stages in the project cycle
- identify those who are powerful actors in ensuring the project's success or failure
- identify whether and how you need to do something about them and include it in the project design.

You can imagine your project as a window through which all interested people and groups can be seen – some of them right at the margins, others very central. As project leader you must get close to the window to maximise your view. Stakeholders may include many groups and individuals:

Exercise 11:

Where would you place your list of stakeholders in this stakeholder window? Put in the centre those which you feel need to be most closely involved or managed. The following list may act as a prompt in thinking about who your stakeholders are.

- Your Funder (e.g. DFID)
- Your Funding Manager (e.g. FRP)
- The Project Team
- Project Partners
- Beneficiaries
- Research organisations
- Suppliers
- Contractors
- Consultants
- Government Departments
- Competitors
- Other (specify)

Stakeholder Window

4.1.2 Methodology

Stakeholder analysis can be achieved as a stepwise process:

Stakeholder Analysis : basic assessment process	
Step 1	Identify any organisation or person who: – has an interest in the project either positively or negatively – contributes to or is affected by the objectives of the project – can influence the problems to which the project responds
Step 2	Make a more detailed analysis of each stakeholder in terms of their: – problems and interests – linkages (co-operative or conflicting) – potential (strengths and weaknesses in terms of the project)
Step 3	Discuss whose interest and views are to be given priority when managing your research

4.1.3 Impact of Projects on Stakeholders

Impact analyses of many research projects tell us that stakeholders do not have an equal chance of addressing their needs, despite the personal value they place of their 'stake' in the project. Analysts suggest that this is because the ability of stakeholders to secure their stake varies considerably. Attempts have been made to develop techniques to explore this variable potential. One such analytical process is described below.

Stakeholder Analysis: Impact Assessment Process	
Step 1	For each stakeholder, estimate how much value they place on their stake or interest in the project. The value can be positive or negative (i.e. their stake may be to see something happen (+) or not happen (-)). Critical 5 Essential 4 Necessary 3 Desirable 2 Non-essential 1
Step 2	Assign a power level to each stakeholder. This rates the ability of the stakeholder to take effective action to ensure their stake. Control - complete 6 - very significant 5 Influence - significant 4 - moderate 3 - low 2 Appreciation - lowest 1
Step 3	Multiply the value of the stake to the stakeholder by the power to take action. The result is an indication of the stakeholder's likely impact on the project.

This model is a useful tool for describing why, even when a stakeholder places a high (critical = 5) value on their stake in a research project (whether positive or negative) but has a low power level to secure the stake (low influence = 2), the project may not serve their interests. (outcome 5 x 2 = 10). Conversely, a more influential stakeholder (significant control = 5) with perhaps only a moderate interest in a particular outcome (value of stake = 3) may still have greater power to secure this outcome (3 x 5 = 15). Although this is a quite simplistic model, it does much to explain why many research projects have failed to serve the needs of the least influential members of society and why participatory planning is now seen to be an essential component of all development project planning. Once a project has been identified and agreed in this way, project planning teams can also use the model to identify how to harness the potential of stakeholders who are in favour of the project (high positive scores) and how best to minimise the potential of stakeholders who are opposed to the project (high negative scores).

EXERCISE 12: Fair Trade Schemes for Forest Dependent People

Case Study

In small groups, use the two tables below to analyse the 'before' and 'after' situations described. Discuss any changes in scoring with the wider group.

The 'Before' Scenario

In Ecuador, the conventional marketing chain for cocoa usually involves a village trader/assembler of cocoa (usually a shopkeeper) buying small quantities of fermented cocoa, offered by local growers. There are few buyers for cocoa, limiting farmers' options. Smallholders consistently complain about buyers unfair grading and weighing practices. Village traders sell to itinerant traders who transport the beans to an area trader or sell directly to an urban wholesaler if he is near enough to a town. Large cocoa growers bypass intermediaries and sell directly to exporters but smallholders producers in remote areas are subject to the full marketing chain.

Stakeholders	Interests (Stake)	Value	Power	Stakeholders' Ability to secure stake

The ‘After’ Scenario

A church-based organisation MCCH has set up an ethical trade scheme in cocoa. The trading arm – Maquita – has constructed a parallel system of coca marketing through appointing traders from farming organisations and communities, supported by zonal buyers who are employees. Maquita’s community traders purchase on preferential terms from smallholder growers who belong to affiliated grower associations. To become affiliated, an association should be based in remote areas, should be well organised and its members should possess smallholdings of less than approximately 7ha. Maquita traders have working capital to buy cocoa and they are responsible for grading and weighing the beans and paying a preferential price to small holder members. The Maquita traders assemble, ferment, dry, sort and bag the beans and take responsibility for transport. To obtain higher volumes, Maquita also buys from third parties at non-preferential prices. Maquita profits are reinvested in the company or are used to fund farmer training or socially motivated activities. Maquita’s commercial performance has been remarkable, From its first export s in 1992, Maquita has become one of the top five Ecuadorian cocoa exporters – usually obtaining higher average export prices than its competitors because it concentrates on higher quality beans and exports directly to chocolate manufacturers in Europe.

Stakeholders	Interests (Stake)	Value	Power	Stakeholders’ Ability to secure stake

Stakeholder Analysis Frameworks

The framework used in the exercise above is only one of many which have been developed to help with stakeholder analysis. Other examples are set out below**.**

1. The Participation Matrix

Stage/Action	Inform	Consult	Partnership	Control
Identification				
Planning				
Implementation				
Monitoring and Evaluation				

Notes:
The Participation Matrix helps analysts consider how each stakeholder should be involved in the project and when.

2. Impact/Priority Matrix

Stakeholder	Interests	Potential Impact	Priority of Importance
Priority			
Secondary			
External			

Notes
The Impact/Priority Matrix classifies stakeholders according to the project's view of the importance of their interests, the potential impact of the project and the priority of importance in terms of action. Note that each stakeholder may appear at different 'levels' in each column, e.g. although a particular stakeholder's interests may not be a priority of the project, the potential impact of the project on these interests may still be high.

3. Readiness/Power Matrix

Stakeholders	Readiness			Power		
	High	Medium	Low	High	Medium	Low
1.		O	X	X		
2.	X			O	X	
3.	X					X
4.			X		X	O

Notes
Readiness means either the amount a stakeholder knows about the project or whether the view is positive or negative.

Power is the influence the stakeholder has over the success of the project
X is the start position
O is the position we decide we want to achieve for this stakeholder
(For example:

1. Is a top manager – it is in our interest to move his knowledge of our project from low to medium.
2. Is our middle manager direct counterpart – it is in our interest to increase his influence.
3. Is a project worker – we decide we don't need to do anything about them.
4. Is a competing middle manager – they are disruptive to the project and their power needs to be lessened.

In all cases where we decided that we need to do something, we now have to decide what and how.

4. Problems/Interests/Linkages Matrix

Stakeholders	Problems	Interests	Linkages

Notes
The Problems/Interests/Linkages Matrix is used to identify the problems facing the stakeholders, the type of interest they have in the project and the linkages between the stakeholders (conflicting or complementary)

5. Influence/Importance Matrix

High Importance/Low Influence	High Importance/High Influence
A	**B**
D	**C**
Low Importance/Low Influence	**Low Importance/High Influence**

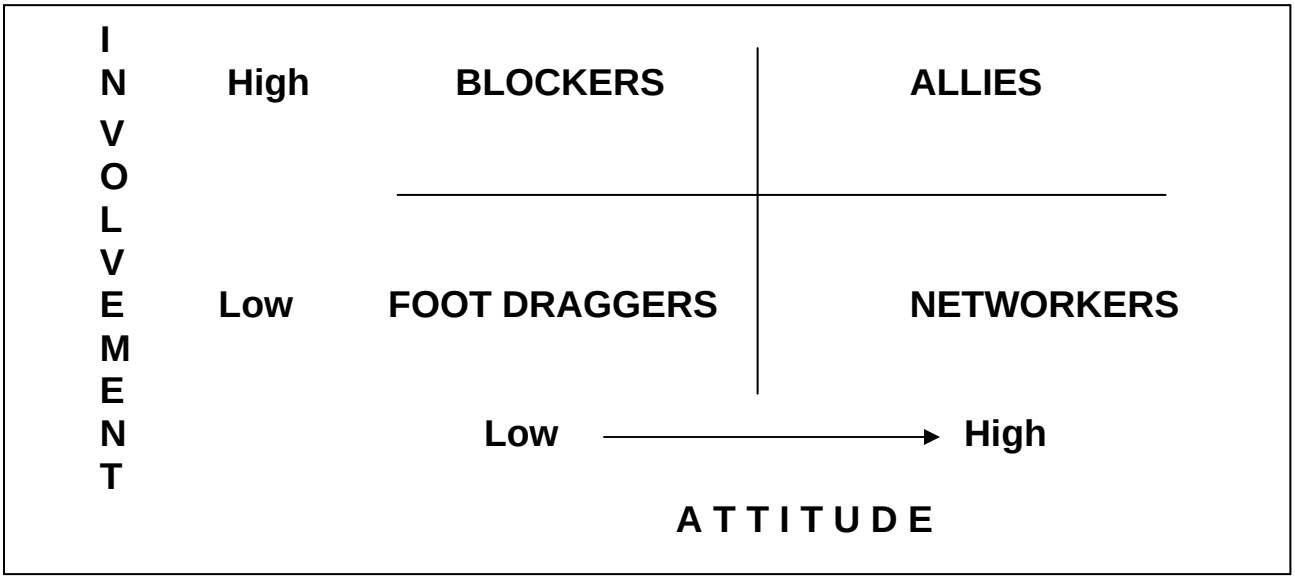
Notes
The Influence/Importance Matrix is used to analyse stakeholders according to their importance and influence.

6. Supportive/Antagonistic/Constructive/Destructive Matrix

(+) Constructive/Supportive	Destructive/Antagonistic (-)
1 2 3	4 5 6

Notes
The Supportive/Destructive Matrix is used to analyse stakeholders and then decide where you need to move them to and how you are going to do it.

7. Involvement/Attitude Matrix



Notes
This Matrix is similar to 6 above, although here the degree of involvement is of the stake.

EXERCISE 13: Choose one of the stakeholder analysis frameworks above to carry out some analysis work on your stakeholder group.

4.1.4 Fostering Ownership: The Ultimate Goal

Figure 2 below is helpful in understanding how stakeholders can be influenced. Each "box" would require different communication/promotion strategies. The concern here is with the audience's own perception of their level of knowledge and interest in a topic. Ultimately, the aim is to move people from a position of low interest and little knowledge to a position of high interest and high knowledge (bottom left to top right). It is at this point that action may follow. Nevertheless, behaviour change is not guaranteed; it is only more likely. There can be various external factors blocking action which are beyond the

project's influence. Advocacy initiatives, incorporating campaigns, education and lobbying can equally use this model.

Fig. 2: Matching Communication Technologies/ Pathways to Audience/ Client

	Perceived Importance of Topic to Stakeholder		
		Low	**High**
How Much Stakeholder Feels they Already Know	**High**	Develop enthusiasm to address topic	Challenge existing beliefs?
	Low	Develop awareness of topic and enthusiasm to address it	Facilitate learning by stakeholder

Learning Points Review:

1. Stakeholder Analysis can be achieved using a variety of frameworks.
2. The important lessons to learn are that every project team needs to know who their stakeholders are, whether they are for or against the project and how they plan to go about meeting their needs or controlling their influence.

Session 4.2

Stakeholder Engagement

SESSION OBJECTIVES ***Upon completion of this session you will be able to:***

1. Understand the different roles stakeholders may play in the research project cycle
2. Appreciate the research-development/policy cycle
3. Plan ways to increase participation

4.2.1 Identifying Stakeholders and their Roles in Research Projects

In research projects, stakeholders are all those individuals or organisations that are either involved in the research project itself, or have an interest in communicating all or some of the outputs of the project or the intended beneficiaries.

Stakeholders may perform one or more roles during the process of developing knowledge and turning it into policy or practice:

1. *Target group or End Users:* Are those who apply research findings directly. These may include for example those whose livelihoods are based on the project findings such as farmers and foresters, but also governments (where they run government woodlots for example), NGOs and the private sector.

2. *Intermediate users:* Are those who take research findings and modify them in some way for example when an NGO modifies a technology before passing it on to its clients, or when research products are used to inform policy. Intermediate users may be other research organisations, NGOs, private sector, policy makers and donors.

3. *Channels:* Those who pass research findings on. They may re-package these outputs but they remain fundamentally unchanged. Examples may include government extension services and NGOs. These organisations typically use the products of research beyond the term of the research project.

Role may of course change over time and the same stakeholder may perform multiple roles depending on the particular finding or stage of promotion in question.

Exercise 14: Using the list developed in previous exercises, identify a stakeholder for your research project as either an end user, intermediate, channel or opposer. Describe the context.

Stakeholder		End User	Intermediate	Channel	Opposer
		(Tick the appropriate box)			
1					
2					
3					
4					
5					
6					

Within the context of your research project, looking at the roles of stakeholders will help to identify:

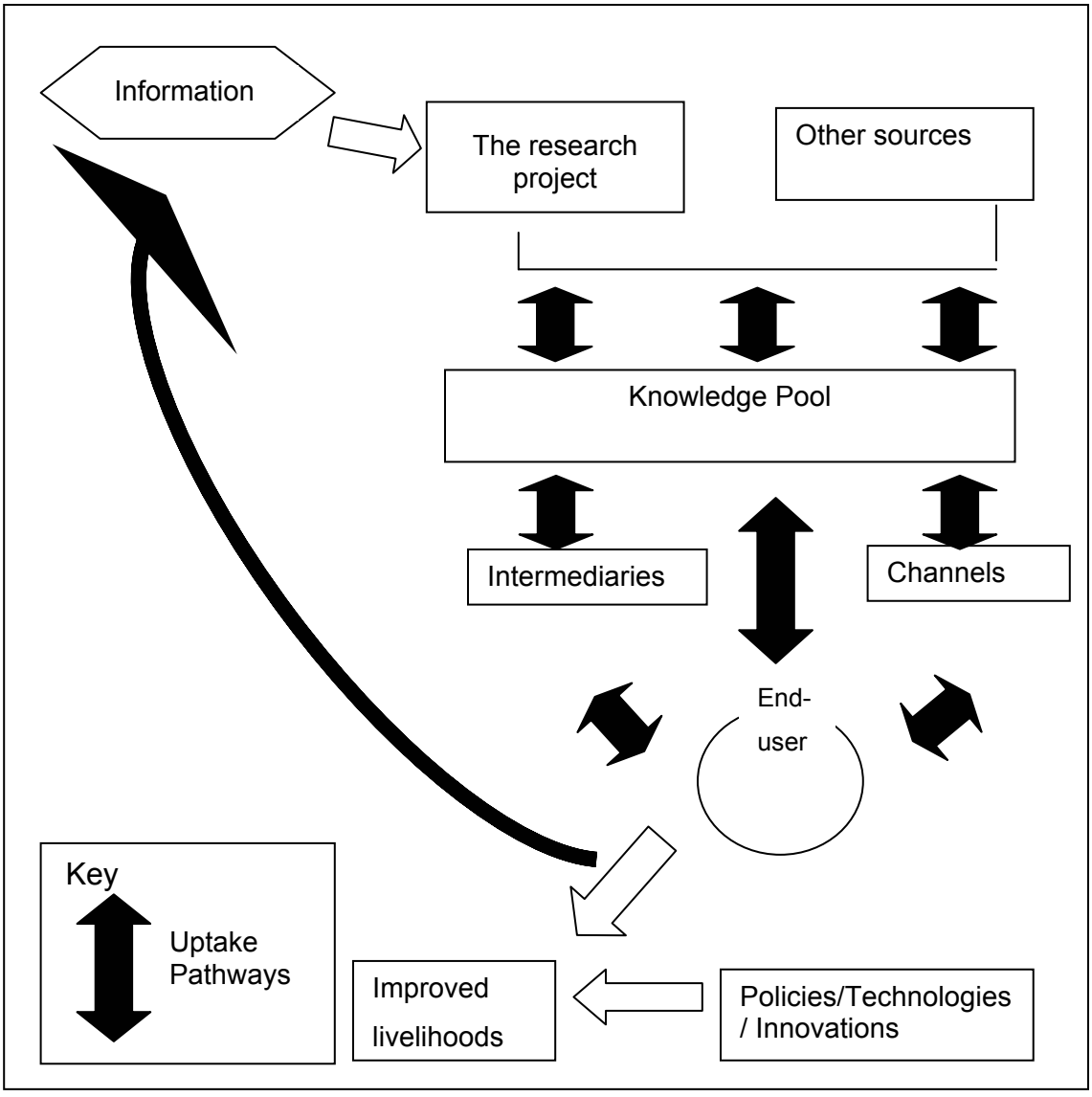
- Who should participate in the research project cycle
- Who moves information around
- Who adds value to information
- Who can promote messages and institutionalise them into policy
- Who will continue to promote specific knowledge, technologies and innovations *beyond the life of the project
- Who might cause damage?

Fig. 3 below is a visual representation of how the aim of research (which is to gather information in order to provide knowledge) is fulfilled. If research is to effectively contribute towards development, this knowledge must then be absorbed and used to promote the development of new innovations in order to improve livelihoods. Stakeholders may use knowledge from multiple sources whilst developing/promoting a particular innovation. Far from being a linear process, free communication between all stakeholders ensures that information is fed back into the research process.

The Research/Development Cycle

The diagram below may help you to visualise how information may flow and ideas be promoted within the research-development cycle.

* Definitions from Review of the factors influencing the uptake and impact of twenty-one renewable natural resources research projects. *Agren NP43. D Edwards and J Farrington Jan. 1994*



4.2.2 The Importance of Participation

Developing pathways to ensure that findings are absorbed into policy and practice starts at the beginning of the research project cycle. The key is **participation** with all relevant stakeholders from problem identification through planning, participatory research, monitoring, evaluation and scaling up.

This helps ensure that:

- Research projects are relevant and appropriate to the needs of the proposed end users.
- Partnerships and networks developing trust and good communication are developed.
- The capacity of stakeholders is developed.

- End users can become part of the research findings communications process through their familiarity with the project.
- Communication methods, appropriate to the stakeholder groups, can be developed.
- Potential impacts can be more easily evaluated.
- End users can be more easily identified and targeted.

Participation is essential in order to develop robust uptake pathways. Participatory tools and techniques which allow stakeholders to become involved in the project cycle have become well established over the years. These include *participatory technology development processes (PTD)* which involve potential end users in the research process – identifying problems and possible solutions, experimenting and evaluating and participatory learning and action tools (PLA) which can help policy makers actively engage with issues as the basis for action. However, despite the fact that the principles and processes as well as the benefits are well established, there still remain many examples where research projects fail to consider fully the process of participation. Much of the rest of this workbook focuses on how to avoid such failure by building your skills to actively engage individuals, groups and the general public as either users, intermediaries or channels for the new knowledge your project is providing. You may find it helpful to read Toolkit Card 10 for further information on Participatory Facilitation.

Exercise 15: Who participates in each stage of your research project? Who should have been involved but was not?

Stage	Participated	Omitted
Identification of the initial problem		
Identification of the potential end users of the research outputs		
The research design		
Location of the research area		
Implementation of the research activities		
Monitoring of the research process		
Evaluation of the outputs against the original problem		
Identification of appropriate media for dissemination of research results		

4.2.3 Conclusions

The importance of participation and stakeholder engagement in research projects has been highlighted by D Edwards and J Farrington when they reviewed factors influencing the impact of twenty natural resource projects. They found that close consultations with

potential users throughout the project cycle was one of the key factors promoting successful uptake of natural resource based project findings. Similarly, most factors that led to poor uptake were associated with a lack of communication and participation with the key stakeholders.

Rather than just allowing passive participation research funders are increasingly looking to encourage more demand-led projects. This is sometimes referred to as the 'push' and 'pull' of research and development. Most development processes benefit from having both. Developing strong "user constituencies" is one way of developing the capacity of user groups to demand services. User constituencies are all those potential users who have a keen interest in the outcomes of research, and may be groups and individuals directly involved in natural resource management issues, or NGOs, private sector organisations, development projects etc. Developing the capacity of these individuals to effectively demand services would allow research findings to be *pulled* through the uptake pathway, rather than *pushed* through by the research team.

Policy makers are crucial stakeholders and any research project needs to ensure that their activities link in closely with these decision makers – not only to ensure that activities are supported within the broader regional and national policy frameworks, but that research outputs can influence new policy direction.

Exercise 16: You should end this session by identifying which stakeholders are more significant with regard to the promotion of the research findings you identified earlier. Enter findings in column one of your draft Matrix and stakeholders in row one. You may use the template included in Part II or develop your own.

Learning Points Review:

1. Stakeholders may be end users, intermediaries, channels or any combination. Understanding what roles they play is important in identifying potential uptake pathways.
2. Stakeholders use information from a number of sources when implementing new policies or technologies or developing innovations.
3. Effective participation (rather than consultation) has many benefits, not only in the project design but also the uptake of outputs.

Part V

Uptake Pathways: Making the Links between Research, Policy and Development

5.1 The Knowledge Transfer Environment

5.2 Constraints to Uptake

5.3 Developing Uptake Pathways

5.4 Promoting Stronger Research/Policy Links

Session 5.1

The Knowledge Transfer Environment

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Understand the concept of Uptake Pathways
2. Understand the concept of Knowledge and Information Systems and Innovation Systems as they relate to research projects

5.1.1 The Role of Research in Development

This section of the workbook explores the various ways in which findings can be packaged, and how these packages find their way to the poorest members of the community.

Research projects can have a crucial role to play in development by providing relevant findings and ensuring that they are 'packaged' in such a way that they can impact on development action – for example as improved technology and improved policy. Increasingly the focus has been on poverty alleviation and in order to be considered successful a research project has been required to demonstrate that its findings have had an impact on poverty alleviation – either directly through the adoption of technologies by the poor, or indirectly through the development and implementation of policy by governments and organisations. This is a fundamental reason for the decision by donors to channel resources through research. However, the ability of research to contribute to poverty alleviation in practice is now the subject of a very dynamic debate based on a variety of evaluations which have attempted to demonstrate the impact (or not) of research on development.

5.1.2 How can Natural Resource Based Research Contribute to Poverty Alleviation?

Until recently, a primary channel for poverty alleviation has been through natural resource based research, working on the assumption that increased production and reduced prices benefit the poor. This has ultimately proved to be not always the case, and the emphasis now is on putting poverty alleviation as the goal of research projects – and then to investigate how best this can be achieved. Poverty is of course a multi-dimensional issue, and poverty alleviation is now seen from a perspective that encompasses more than traditional economic benefits such as improved income, productivity and labour. More recently issues relating to an individual's ability to influence decisions, their vulnerability to shocks and their physical safety and dignity are all seen as important aspects of poverty that need to be addressed.

However, understanding the multiple dimensions of poverty is not enough. For research to contribute to poverty alleviation, the emphasis needs to be on <u>applying</u> appropriate knowledge, rather than merely <u>developing</u> it. In other words, research is not funded for research's sake. It needs to provide solutions to problems that poor people face and then ensure that the knowledge provided informs *policy* and influences *practices* in a way that allows individuals and communities to develop innovations in order to improve their livelihoods.

If poverty reduction lies at the heart of development and if research is required to contribute towards it, then research findings must be evaluated against the successful adoption of appropriate changes that contribute to poverty alleviation rather than just the development of potentially appropriate solutions. This evolving emphasis reflects a general concern that to date, and for many reasons, research findings have not informed policy and practice to the extent that they should have done, and that research products needs to re-focus on development outcomes.

"Agricultural scientists are now working in an environment where the ethos is changing significantly away from that which formed the context of his/her training and earlier professional experience. The purposes of research are increasingly being directed to questions of uptake and impact, to environmental effects, and to poverty and gender issues; in short to "development" in its various dimensions rather than to research outputs."[13]

The notion of research *for* development has already been raised in the workbook. It lies at the heart of the rationale for FRP. This Part of the workbook looks at issues affecting the uptake and impact of FRP research findings – in other words it explores the facilitators and constraints to FRP development impact. Topics relating to the effective uptake of research findings by both end users and policy makers are covered as well as factors which constrain uptake and adoption. The aim is to help facilitate the effective impact of research findings on the livelihoods of the poorest and most marginalised members of society.

Exercise 17: Identify a successful research project that you were involved with, or are aware of. How was success measured?

[13] *Review of the Factors Influencing the Uptake and Impact of a Sample of Twenty One UK Supported Renewable Natural Resource Research Projects.* ODA Network Paper 42.Edwards. D,. and Farrington. J, 1993.

5.1.3 Research and the Sustainable Livelihood Framework

If the goal of a research project is to improve the livelihood outcomes of the poor, then the sustainable livelihood framework provides a way to visualise how this might be achieved. It demonstrates how research projects can "attack" poverty by seeking to understand and influence:

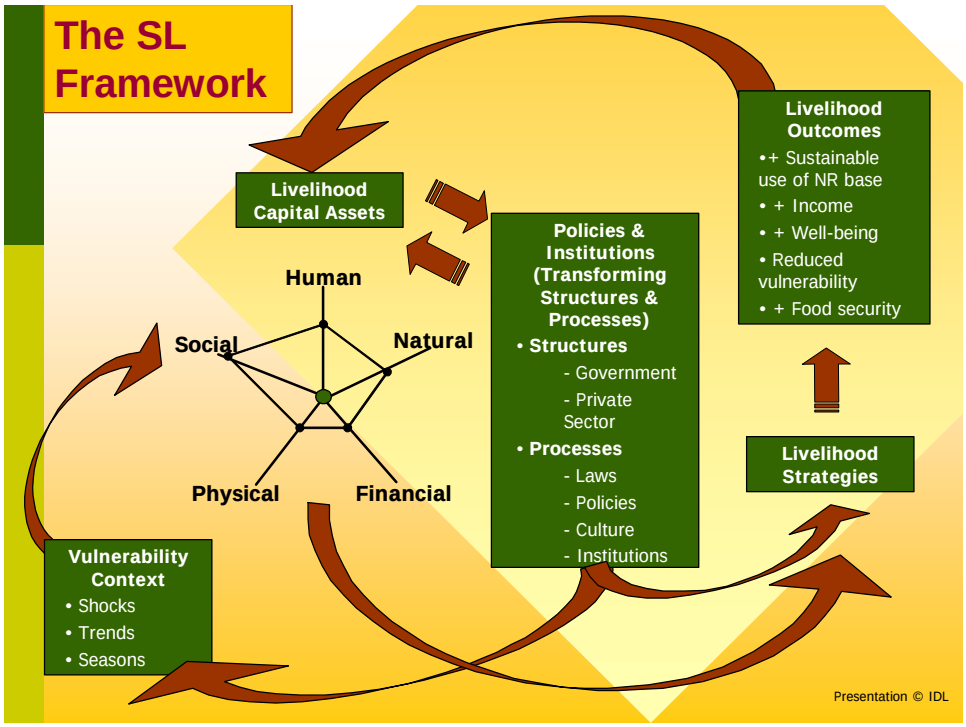
Vulnerability: e.g. changes in the diversity of crops, resistance to pest attacks and climatic conditions, dependence on markets.

Assets: e.g. new equipment (physical assets) soil fertility (natural assets), crop management practice (human assets), community nurseries (social assets), community development funds (financial assets).

Transforming processes (policies, institutions and processes) e.g. strengthening the capacity of local networks and organisations to disseminate findings and by influencing policy.

The framework is presented below:

Fig. 4



Exercise 18: Where are your project's entry points with regard to the sustainable livelihoods framework, and what is it doing?

Decreased vulnerability

Increased assets

Improved policies, institutions and processes

Exercise 19: What are the anticipated livelihood outcomes from your research project?

5.1.4 Understanding the Knowledge Environment.

A successful project relies on effective communication in order to convey information from the source to the end user. This requires identifying appropriate communication channels as well as suitable communication methods.

Knowledge and Information System Analysis is an approach to conceptualising how end users access information. It has been defined as:

"The persons, networks and institutions, and the interfaces and linkages between them, which engage in or manage the generation, transformation, transmission, storage, retrieval, integration, diffusion, and utilisation of knowledge and information, and which potentially work synergistically to improve the goodness of fit between knowledge, environment and technology used"[14]

The Knowledge and Information System concept appreciates that people obtain knowledge and information from a number of different sources. It also allows the different actors to examine the relationship between these sources and look at ways in which the flow of information and knowledge can be improved.
The approach should not be taken too literally however in that it details *theoretical* links between individuals and organisations, and assumes co-ordination between actors working towards common objectives – which may or may not be the case. It does serve

[14] Roling NG and Engel P. 1995

however to help us visualise the potential stakeholder community and to begin to look at ways in which uptake pathways can be promoted.

 **Exercise 20:** Identify some of the key actors in a Knowledge and Information system you are familiar with– what are the linkages between these actors?

5.1.5 Innovation Systems

Rather than look at how 'researchers' can more effectively disseminate their findings through a knowledge and information system, the *innovation systems* approach looks at the broader picture of how people innovate new technologies. Rather than look at actors with clearly defined roles with observable outcomes, this approach looks beyond the process of research and the transfer of research outputs and looks at a broader picture of research within a "process of innovation".

Research becomes just one element of a wider process of innovation. It emphasises both the importance of a large number of key actors and institutions involved with successful innovation, and the importance of the links between these actors that enable them to operate as an effective 'system'[15]

The Innovation system looks beyond the linkages between actors:
Communications will of course remain important parts of the innovation process, but much current practice is like pushing more and more Knowledge down a hose pipe, in the hope that at least some of it will come out of the other end - rather than investing in the quality and effectiveness of the pipe, worrying about where the knowledge needs to emerge and investing in the processes, mechanisms and institutions that will utilise the knowledge once it emerges from the end of the pipe.[16]

5.1.6 Uptake Pathways

Both the Knowledge and Information System and the Innovation System approach attempt to describe the environment in which information circulates. An effective communication strategy needs to start by finding the most suitable routes through these systems from the source to the end user, and then identify the most appropriate communication medium.

The route by which information travels between the source and the end user, and the medium used is collectively referred to as the Uptake Pathway. It describes how information is 'pushed out' by the source, and 'pulled in' by the end users.

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[15] Draft Text for Policy Brief A Barnett 2003 p.2
[16] Ibid p 2

"Uptake pathways are the route or channel through which research products reach the users, the means by which users search for potentially useful information and also the means by which research projects make their products known to users. Different groups of users use different pathways to access information. Pathways are multiple and complex, especially with respect to reaching poor people and responding to their needs." [17]

Just putting research findings into an existing information system is certainly not a guarantee of successful adoption. It is essential to identify uptake pathways within this system and to strengthen and nurture these if findings are to be incorporated into practice. Identifying and developing appropriate pathways is essential if research findings are to contribute effectively to the improved livelihoods of poor people and communities.

5.1.7 What Does All this Mean for Individual Research Projects?

- It means that research projects need to be viewed within broader frameworks. (e.g. the Sustainable Livelihood Framework, the Knowledge and Information System, the Innovation System). They do not exist in isolation.
- To contribute to a process of development, projects need to be able to identify 'entry points into development (e.g. ability to protect against shocks, contribution to individuals assets and influence on transforming structures such as local networks and organisations)
- Uptake pathways need to be identified to ensure that research findings reach their intended audience.
- Identifying uptake pathways requires a good understanding of current Knowledge and Information Systems and Innovation Systems
- Research projects may need to invest in the processes, systems and institutions which deliver messages in order to ensure effective uptake, e.g. to develop the capacity of uptake organisations

Learning Points Review:

1. The notion of research for development is gaining strength
2. Research findings enter the knowledge pool, which informs policy and practice, through Uptake Pathways.
3. Research projects are part of a complicated mechanism of knowledge development and transfer.
4. Research projects have an increasing responsibility to identify and develop appropriate uptake pathways which includes identifying uptake organisations and if necessary developing their capacity to disseminate information and promote development effectively.

[17] Scaling Up and Communication, NRSP

Session 5.2

Constraints to Uptake

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Identify the key constraints to adoption of research findings
2. Appreciate the particular needs of the poor
3. Appreciate the importance of understanding the local culture when developing a dissemination strategy

5.2.1 Introduction

Uptake pathways describe the route and process by which information travels from its source to it's intended audience. Along this route may be a number of obstacles, some of which may be a result of the research project design, some of which may be the result of the chosen process of information transfer, and some of which might be due to externalities. Before looking at how best to promote effective uptake of research findings through communication, let us look at possible constraints to uptake.

5.2.2 What Drives Action?

Broadly speaking, decisions are based on either the ***perception of*** the end user (policy maker, farmer, etc.), of the research findings and their implications, their ***ability*** to react to the findings and the prevailing ***social/political/cultural environment***. Understanding how targeted end users make these decisions can help identify possible constraints to adoption. Understanding possible constraints means that these can be addressed in order to help ensure that technologies are available and appropriate to selected target groups and especially the poor.

5.2.3 Constraints to the Uptake of Research Findings.

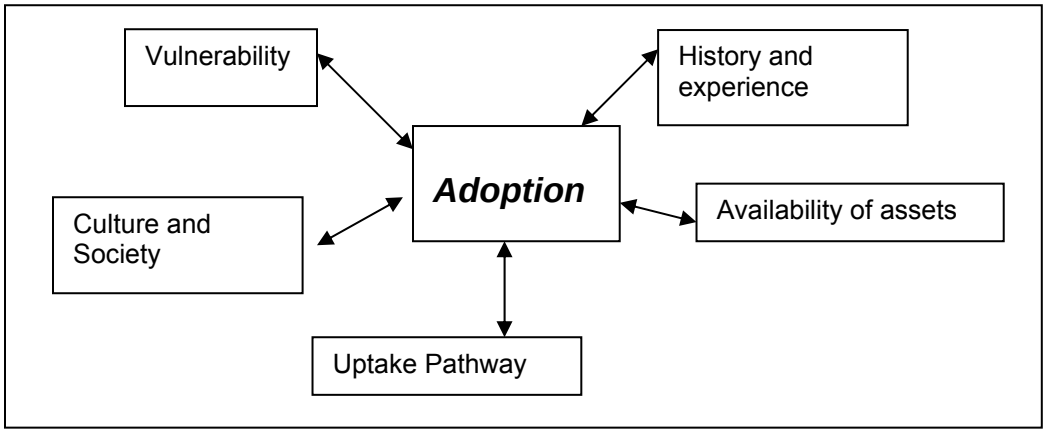
Exercise 21: Identify a project output. What constraints exist to restrict its adoption in policy or practice?

Uptake of research findings relies on the effective transfer of appropriate information to a chosen audience. There are two key issues here, the uptake pathway that is chosen to convey the information, and the appropriateness of the information itself. A number of the factors, which relate to the appropriateness of the findings can be viewed through the Sustainable Livelihoods Approach. These include the perceived impact on

individuals' vulnerability, contribution to assets, cultural and social considerations. Other factors may not be explicitly clear in the framework such as previous history and experience and power balance issues.

Effectively identifying potential constraints to uptake before a communication strategy is fully developed allows the project to ensure that the most appropriate audience is being targeted, using the most appropriate 'package'. Furthermore, it allows for activities to be developed to counteract possible constraints and therefore assists greatly in developing effective and appropriate uptake pathways.

Fig. 5: Some factors Affecting Technology Uptake



5.2.4 Vulnerability

The effect a research finding 'packaged' as a new technology has on the vulnerability component of an individual livelihood will affect adoption since adopting a new technology can either reduce or increase an individual's vulnerability to shocks. If vulnerability is increased as a result of adopting a technology then end users are required to take an increased risk if they are to adopt. Poor people are generally more vulnerable than others. They may be living on marginal lands, so are vulnerable to environmental factors such as weather and soil fertility. They are also vulnerable to economic shocks such as an increase in the price of inputs and health shocks. They may also be more vulnerable to social and institutional shocks, for example the actions of neighbours, group members, public sector workers or NGOs. Already being in a vulnerable situation makes it difficult for poor farmers to cope with additional shocks i.e. they have fewer coping strategies.

Note also that as researchers we may need to deal with situations where there is no objective increase in risk/vulnerability but rather a perceived increase. The question then is how we as researchers deal with this perception. How do we win trust?

Examples of how a new technology can increase vulnerability include:
Poor performance: A new technology may fail for a number of reasons when implemented by the end user. Since poor farmers are less able to cope with the shock of failure this could have considerable implications.
Inputs: End users may be vulnerable to changes in the costs/availability of inputs. Hybrid seed are a good example since these need to be bought year after year – what if prices go up, or the seed supplier cannot maintain supply or quality?

Attitudes of others: Even if a new technology is adopted successfully, and supply of inputs is not a problem, the user may be vulnerable to the attitudes of others. Success may mean jealousy in a village. Farmers in some countries for example have been known to poison the fishponds of their neighbours if they are seen to be too successful. Similarly tenant farmers may be required to pay more rent; membership to particular groups may be curtailed. In some areas users may be accused of witchcraft.

So even successful technologies (for some stakeholders) can increase vulnerability (for others) and therefore have limited adoption. Understanding the vulnerability component is a key issue in promoting successful adoption.

However, a new technology may of course also reduce vulnerability. Agroforestry techniques have allowed farmers in many parts of the world to recycle nitrogen rich material through alley cropping and short rotation fallow – this has reduced their vulnerability to the price and availability of fertilisers.

The implication in the above is that research projects need to put the impacts of adoption before the technology itself.

"The implication ….is that agricultural research must look beyond increasing average productivity if the goal is for poor people to adopt and benefit from technologies. For example, stable yields may be more important than higher but more volatile yields. Agricultural research now pays considerable attention to adaptation of technology to biophysical sources of vulnerability (e.g. drought and pest resistance….), but the institutional and social factors that increase vulnerability are not always considered. Dealing with these issues might require technologies that reduce dependence on purchased inputs and are provided by strengthened and supporting institutions.[18]"

5.2.5 Assets

If our target end users are members of the local community, their actions may be influenced by their access to assets. Poor people generally have fewer assets than the non poor, and cultural/social considerations can affect access. For example, women's access to field crops and livestock is often restricted, or poor people's access to groups and the decision making process of group activities. Understanding the assets available to poor people, and building on these will greatly enhance the likelihood of adoption. Similarly, technologies that require assets not easily available to poor people will not be easily or readily adopted (and if they are, may well contribute significantly to their vulnerability).

If a technology is developed, the assets it requires to be implemented will affect the type of adopter. If a project aims to target its outputs to a particular group, then an understanding of assets available to that group is essential in order to promote adoption.

[18] *" Impacts of Agricultural Research on Poverty: Findings of an Integrated Economic and Social Analysis"* R. Meinzen-Dick, M.Adato, L.Haddad, P.Hazell IFRI 2003

Examples of assets:
Natural Assets: Improved fallow using a new technology for example may not be adopted by the very poor who cannot spare, or do not have, the land. Tree planting may be hindered through insecure land tenure.
Financial Assets: Tree seeds or improved fruit cultivars may be expensive to buy. Do targeted end users have access to the necessary funds through savings, credits or loans to adopt particular technologies?
Physical Assets: What physical resources are required for adopting a particular technology? Are these available or will they need to be bought/hired? Will transport be required to access markets, is power required for processing materials? Is this power available, cheap or expensive, reliable?
Human Assets: Will a new technology require more labour, and is this labour available? What are the impacts of HIV/AIDS and other health issues? What are the current and required skills' levels to implement a technology? How are knowledge and skills exchanged?
Social Assets: What networks exist for the poor within a community? Are there formalised groups e.g. savings and credit? Are 'safety nets' available to the poor? How well do groups function in society – e.g. would collective tree nurseries work? Marketing Co-operatives and or savings groups? What are the social networks for sharing resources e.g. seed exchange, equipment loans?

Access to assets determines adoption. A technology cannot be targeted to specific groups if they do not have the assets available to adopt.

5.2.6 Transforming Structures – Culture and Society

In terms of the Sustainable Livelihoods Framework culture and society would be considered under the heading of transforming processes and structures. Culture not only affects the acceptability of certain technologies (such as the texture and taste of new foods etc, taboos relating to myths and legends), but also the access certain groups have to assets that enable them to adopt particular technologies. For example, can women work in orchards or is this men's work, or is there equal access? Can women work in the fields? Can men harvest fruit? What are the relationships between the poor and non-poor? What power do the poor have in groups to influence decisions? What are the relationships between young and old? Throughout history, stories about trees have been embedded in folklore, myths and legends. What effect will this have on adoption of particular technologies?

5.2.7 Transforming Structures – Partner Organisations

The term 'partner organisations' here refers to those organisations which influence the transfer and ability of individuals to adopt research findings. Potential adopters will also be influenced by previous experiences. Perhaps they have accepted a recommendation or adopted a technology in the past that was not successful, or perhaps they have had a bad experience in the past with the organisation promoting particular actions. It may well be that the partner organisation requires some capacity development in communicating effectively to the target audience – in choosing appropriate media and developing material of an appropriate standard.

5.2.8 Uptake and Policy Making

We have considered in the sections above the relationship between uptake of new technologies and the poor/marginalised members of society we seek to benefit. Sometimes, however, our research findings are targeted at a very different audience –

for example policy makers – and the constraints that we need to be aware of in these cases are very different than those already considered. They may include:

- political interference and priorities
- budgetary constraints
- donor pressure
- regional/ethnic biases
- legal constraints
- power of stakeholder group
- language
- language of policy

Existing legislation (land tenure, access rights, subsidy provisions for example) may also act as barriers to uptake – for these to change, policy makers must be aware of the constraints they impose and be willing to work towards seeing them change.

Cultural issues may arise when trying to influence policy. Researchers may talk to the wrong person in the local hierarchy and not realise. Cultural norms may prevent senior officials from accepting new ideas from juniors/foreign people, etc.

Exercise 22: Identify an example from your own experience where a lack of understanding of the cultural environment had a negative impact on practice or policy adoption.

5.2.9 Uptake Pathways

If insufficient investment is made to identify appropriate communication channels it is likely that information may not be reaching the right people, or may not be reaching them in an accessible manner – this will clearly have an impact on policy and practice. An effective dissemination strategy requires careful identification of information systems and appropriate communication methodologies .

Exercise 23: Which possible constraints are relevant to your project, and how do you propose to deal with them?

Possible constraints	Proposed action
Target group vulnerability	
Availability of assets	
Culture and society	
Partner organisations	
Constraints associated with policy makers.	
Regulatory or legal frameworks	
Poorly identified uptake pathways	

5.2.10 Constraints and Communications

Understanding the constraints to adoption is vital in the planning stages of a project in order to ensure that appropriate technologies are developed for the poor, and that they have the ability to benefit. Understanding the constraints to adoption can also assist in developing an effective communications strategy. Some examples are included below.

Adoption Factor	Relevance to Communications Strategy
Vulnerability Context	Allows projects to communicate clearly the potential benefits and risks of adopting a technology. Puts the potential benefits in a context that may not be immediately obvious.
History and Experience	Helps to identify potential partners for communicating new technologies. Can help identify potential end users' receptiveness to new ideas.

Assets Availability	Social assets can help determine potential uptake pathways and project exit strategies. Human assets can help determine levels of literacy and existing knowledge. Physical assets can identify potential methods of communication, for example ownership of radios or televisions or access to the internet.
Culture and Society	Can determine the target audience for your message. Can influence access to particular groups. Can determine the communication methods used. May affect when particular technologies can be implemented. May affect relationship between research team, channels and end users. Can explain certain myths and taboos around proposed technologies

Learning Points Review:

1. Very many factors affect the ability of a target group to adopt research recommendations. These need to be considered.
2. Constraints to adoption may be related to the appropriateness of the message and the uptake pathway developed.

Session 5.3

Developing Uptake Pathways

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Understand the importance of identifying appropriate uptake pathways
2. Identify the stages of promoting effective uptake pathways
3. Identify what questions need to be answered while developing an uptake pathway.
4. Learn about some tools to examine communication linkages

> *For scaling up to occur, sufficient attention must be paid, within a research project, to the development and implementation of a sound communications strategy""*[19]

5.3.1 A Strategy for Uptake

We have seen that there are very many potential constraints to the uptake of research findings by the intended audience. Developing a clear strategy for uptake at the start of a research project, which identifies potential uptake pathways and communication approaches, can help address some of these factors. Simply disseminating the results of research at the end of the research project to anticipated end users is not enough to ensure broad uptake and practice.

Developing an effective uptake pathway requires consideration of the following points:

- **What** are your project findings, and to who should each finding be targeted at? eg end users or policy makers or both?
- **What** are you hoping to achieve by communicating findings to intended targets? ie what is the communication objective?
- **How** does your target audience receive information? Directly from the projects, or indirectly through intermediaries and channels – or any combination? What 'route' will your information take?
- **What** methods of communication are most effective for your contact points in this pathway? One to one communication approaches, group communication approaches, mass media communication approaches – or any combination?
- **What** are the possible constraints that will affect the communication and uptake process and what can be done to minimise these?

Projects in the past have often looked only at what is sometimes referred to as the "geographical and quantitative" - dimensions of uptake (for example the number of

[19] "Scaling up and Communications" NRSP

leaflets and where to distribute them) at the expense of the institutional process of uptake (for example linkages and uptake pathways). Studies examining the communication strategies of a number of research projects have shown that the impact of media products such as leaflets, posters manuals, videos and web sites is in fact quite poor in the absence of the active involvement of the intended users.

Identifying and involving appropriate stakeholders at the start of the project not only allows the project to become more relevant, but also initiates the development of the understanding, trust and communication required for an efficient uptake pathway to be developed. We have looked at the tools of stakeholder analysis and engagement. Stakeholder involvement means that not just potential end users should be identified and involved as stakeholders, but also potential intermediaries and channels that may not have a direct input into the research process, but can play an important role in promoting its findings.

Developing the uptake pathways so crucial for action and impact is not an exercise that can be done as part of the research findings communication strategy at the end of a project – but is a process that evolves throughout the life of the project and beyond.

5.3.2 Developing Your Project Findings, Audience and Communications Objective

A number of findings may be generated by each project depending on the nature of the research. Identifying these findings, their intended audience and the objective you hope to achieve by communicating that finding are each important stages in developing an Uptake Pathway.

A research project may wish to have a number of different objectives which it hopes to achieve through communicating its findings. These may include a desire to raise awareness on a particular issue, or to share knowledge. It may on the other hand be to try to influence a change in behaviour and attitude. Identifying what the objectives are will help team members identify suitable uptake pathways. It is worth remembering at this stage that communication is a two way process. Communication objectives may well be determined by the user groups, and as such the research team needs to be suitably flexible in order to adapt to this.

Exercise 24: With regard to three of your project findings, who is the intended target for each finding and what are your communication objectives? This builds upon the work you completed in sections 3 and 4.

Project Findings	Intended Audience (Stakeholders)	Communications Objective

5.3.3 Identifying stakeholder Linkages and Information Transfer

Identifying the links between stakeholders, how end users obtain their information, how organisations and individuals network, and which processes end users trust are all key to identify how you can get your message across effectively to the target audience.

Exercise 25: Look at the questions below. Has your project already got the answers? If not what can you do to get them?

Question	Does your project have the answers? If so how did it get them, and if not, what can be done?
What institutional processes exist that link potential end users communities (could be local people or policy makers), both to each other as well as partners in the uptake pathway?	
What sources of information do the end users have access to?	
What are the sources of information for particular topics?	
What methods of communication are currently used and how suitable are they?	
What are the enabling and constraining factors that could affect uptake?	
What are the prevailing attitudes to new ideas?	

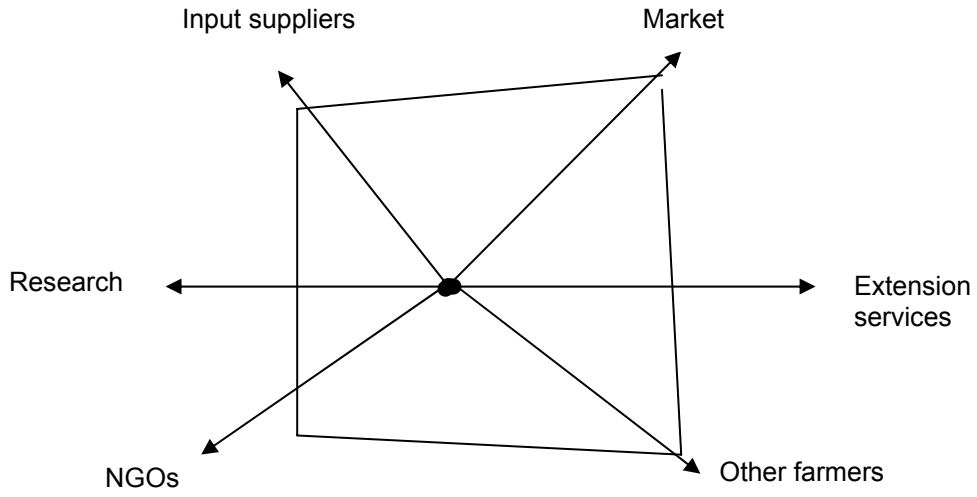
What relevant networks and linkages already exist?	
Are there communication areas that need strengthening within your stakeholder groups?	

Together, answers to these questions can help the research team to develop an effective communications strategy, building on the links developed through participation in the project cycle, identifying and forging effective uptake pathways with partners, and building on existing methods of communications. A process far more effective and efficient than merely trying to communicate the findings of a project, using a range of untested media, at the end of a project.

5.3.4 Methodology

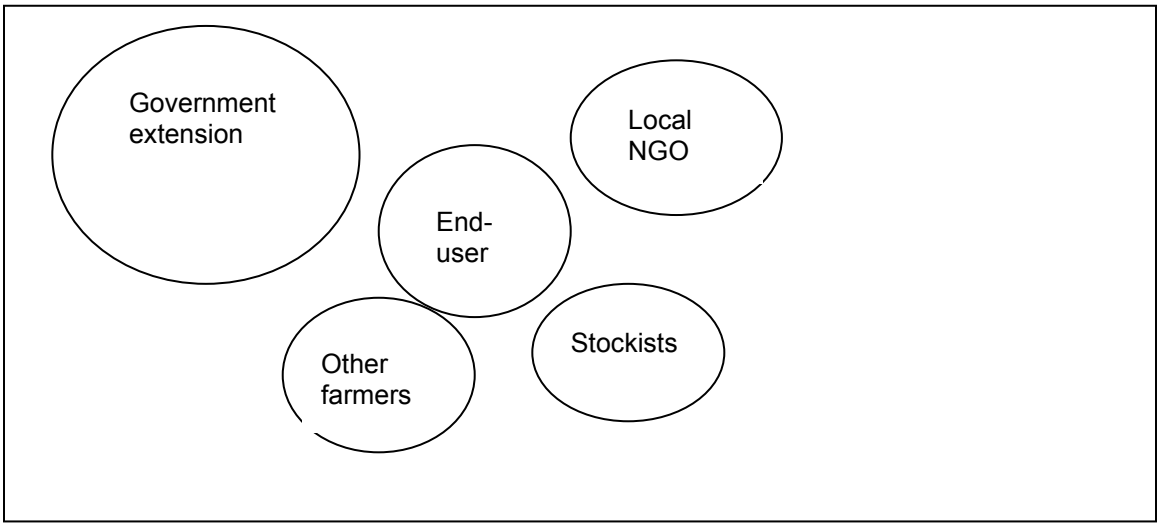
Information on existing communication linkages can be collected using a variety of participatory techniques, three of which are described below

Technique 1. Web Diagrams can be developed by end users to visualise the relative importance of information sources, for example:



This process should lead onto a discussion about why some sources are used more than others and why some sources are not used (this may be for example because they are not easily accessible, their information is not appropriate or they are not trusted)

Technique 2: Venn Diagrams can be used to explore the nature of interactions between members of the "user constituency' to look at how closely they work together, and how important they are considered by the end user groups/individuals.



In this exercise the target users are asked to identify those organisations that provide them with information. The size of the circle represents the degree of influence on the end use, the position of the circle identifies the closeness of the relationship

Technique 3: Linkage Matrices identify which organisations and individuals link with each other, and whether this is a positive or negative relationship.

	Extension services	Livestock Department	Forestry Department	Wool traders co-operative	Tree seedling	Target group	Fertiliser company
Extension services		-	+	O	+	+	+
Livestock department			-	+	O	+	+
Forestry department				O	+	+	+
Wool traders co-operative					O	+	O
Tree seedling stockist						+	+
Target group							+
Fertiliser company							

5.3.5 Identification of, and Collaboration with, Partner Organisation

The previous techniques show that end users obtain information from a number of different sources. Identifying these sources, and the relevant trust placed in each one, is a vital stage in promoting an uptake pathway. Sources of information are developed by

partner organisations which repackage and pass on your research findings. Intermediaries and networks are a vital part of this process of adding value:

'a single blade of grass won't sweep the yard'

Suitable partners can perform a number of vital functions to facilitate effective uptake of research findings. These can include:

- ensuring that the message is transmitted in a non specialist language and is easily understood by the end user
- putting research into a context that is relevant to the end users
- being in a position to communicate with inaccessible or excluded members of the community (such as the very poor)
- acting as a pool of information from a number of sources for end users to draw from
- providing a feedback mechanism to researchers

The initial stages of identifying potential uptake pathways should have located partners for the dissemination process who can act as channels for research project outputs. These partners will need to be assessed against:

- their relationship with the target users
- the degree to which the target users trust and respect them
- their ability to communicate and disseminate information effectively and to a wide audience (What is their reach? Can they access poor communities? Do they speak the right language?)

If there are shortfalls in these areas, research projects should consider developing appropriate capacity building procedures.

 **Exercise 26:** Choose one of the Methodologies above to explore the Knowledge Information Systems associated with your promotion strategy stakeholders.

5.3.6 Selection of Appropriate Communication Products and Activities for the Target Group

Different communication methods have their own advantages and disadvantages and should be selected accordingly. Communication media should be appropriate for the stakeholder for which it is intended (for example manuals may be preferred by extension agents, but not by some farmers). A range of media should be selected to meet the needs of different stakeholders. All material should be easily understood and media should be pre-tested. Part VII of this workbook explores the skills associated with a variety of communication media.

5.3.7 Capacity Building

Once a close network of end users, channels and intermediaries has been identified, and members are involved in relevant aspects of the project cycle there may be some scope for capacity development by the research team. Opportunities for capacity development should be identified as soon as possible, although some opportunities may only present themselves over time. The purposes of this capacity development are threefold:

1. To improve the uptake and dissemination of the projects research findings, and provide feedback and evaluation of results.
2. To help facilitate dissemination of findings beyond the life of the project.
3. To develop the capacity of partners to take a lead in their own development objectives

Through close partnerships much of this capacity building may take place through the project cycle as a matter of course, for example developing the capacity of individuals to establish and run small scale experiments, or to report, monitor and evaluate outputs. Other areas may require more proactive capacity development, such as empowering user constituencies to demand services, or facilitating other organisations to develop appropriate communications media. Capacity development should be at the forefront of all research team members' minds in order to promote effective uptake and as part of the project exit strategy.

Exercise 27: Look at your Promotion Strategy Matrix and identify the initiatives you can take with regard to the promotion of your findings. Think about the extent to which you can utilise or build the capacity of existing Knowledge Information Systems

Learning Points Review:

1. Uptake pathways are about ensuring project findings are accessible to end users, beyond those directly participating in the research project, both during and beyond the life of the project.
2. Developing uptake pathways is an institutional process, examining links and relationships between actors.
3. It requires the identification of actors beyond those directly affected by the project findings, if they have existing appropriate links with the end users.
4. A good uptake pathway uses the best from existing communication webs, and strengthens these and others through appropriate capacity building.

Session 5.4

Promoting Stronger Research/ Policy Links

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Explain current theories on how research affects policy
2. Identify how policies are developed
3. Be aware of factors that affect policy development and how these can be addressed.

5.4.1 Research Policy Linkages

Research could have had a greater impact on international development policy than it has to date. Policy makers could make more constructive use of research and researchers could communicate their findings more effectively to influence policy. If links between research and policy formulation improved better policy making would follow.[20]

Research findings need to influence policy in order to ensure that the benefits of findings are 'institutionalised' and form part of the mainstream message delivered to end users. Without this, research findings run the risk of staying in the fringe, with considerable difficulties in expanding uptake. This is not to say that good findings will not disseminate without being part of a policy, but it is one important process in promoting uptake.

Researchers often bemoan the fact that they appear to have little direct influence on policy, and in return policy makers accuse the researchers of providing information at the wrong time and of making it inaccessible. If the impact of research on policy development is to be improved, the nature of the relationship needs to be better understood. This is not simply a case of making certain policy makers more aware of research outputs.

"The whole life of policy is a chaos of purposes and accidents. It is not at all a matter of the rational implementation of the so-called decisions through selected strategies"[21]

A number of attempts have been made to model the mechanism by which research findings find their way into policy and practice. These attempts identify the complex relationship between research and policy. These have attempted to provide answers to the questions of how policy is made and to what extent research and evidence is incorporated into the policy process. Based on a review of the literature and preliminary and detailed case studies, over thirty theoretical models have been identified which help address this issue[22]. Two of these, the **Linear Model** and the **Percolation Model** are explained below. Other models include the following. The **Flipping Point Model,** where

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[20] Bridging Research and Policy; Context, Evidence and Links. E Crewe (UCL) and J Young.(ODI) ODI RAPID Working Paper 173 June 2002) www.odi.org.uk/rapid/Publications/Documents/wp173.pdf

[21] Clay and Schaffer (1984) quoted in *The Policy Process : An Overview*. R. Sutton ODI Working Paper 1999. www.odi.org.uk/publications/working_papers/abswp118.html

[22] See ODI Research and Policy in Development (RAPID) Theoretical Models. www.odi.org.uk/rapid/Lessons/Theory/Index.html

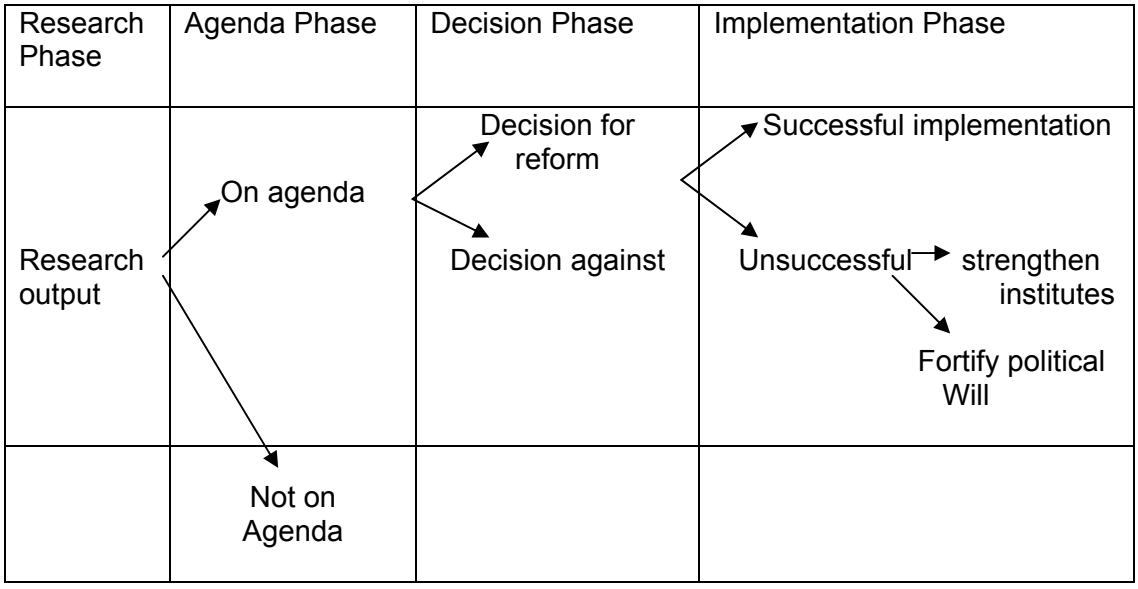
a number of small factors combine to start a social epidemic. The **Systems Model**, which grew out of studies of national systems of innovation and external forces, and describes a complex process in which policy making is situated within a wider institutional, political and historic context. The **Crisis Model** notes that paradigm shifts only happen when there is a crisis, although the routine and incremental decisions that are made as organisations simply muddle through can contribute to significant change over time (also a context model).

5.4.2 The Linear Model:

The most common approach to linking research to policy has been to produce good research results and then to disseminate these results to the end users. This rests on the assumption that decision-makers will always be receptive to relevant and useful information and make ready use of it once it is available. Consequently a great deal of effort has gone into making the presentation of the research interesting and understandable.[23]

The linear model describes a step by step process where research findings are presented to policy makers as answers to specific problems. If adopted these are then incorporated into policy, which is then promoted to the end users.

Fig. 6 Linear Model



Source: ODI. Research and Policy in Development: Theoretical Models.[24]

The linear model is now widely discredited as being too simplistic and inaccurate in the way it represents relationships between stakeholders. Rather than asking the question "How can research be transferred from the research into the policy sphere" new models attempt to answer the question" Why are some ideas that circulate in the research/policy networks picked up and acted on while others are ignored and disappear?"[25]

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[23] IDRC "Reports Linking Research to Policy and Action" (Somsak Chundras)
[24] See www.odi.org.uk/rapid/Lessons/Theory/Theories_Linear.html
[25] ODI RAPID Theoretical Models. www.odi.org.uk/rapid/Lessons/Theory/Theories.html

One model subsequently developed to answer this question is the Percolation Model, which is built on the principle that it is very difficult to measure the impact of specific research findings on specific policies.

5.4.3 The Percolation Model

The model argues that research findings filter into the policy arena and incrementally contribute to a change in policy. Other commentators also speak of research contributing to a common pool of information from which policy makers draw. Weiss[26] calls this the 'enlightenment function' of research. She sees the role of research as clarifying, accelerating and legitimising gradual shifts in opinion, thus indirectly contributing to policy change. This is no different really from the concept of end users drawing on a pool of existing and new knowledge in order to develop innovations as discussed in the previous section. Policy making, therefore, is seen as a political issue that may be informed from a number of sources, but is rarely attributable to single neat steps from research project outputs.

5.4.4 What Makes Policies Happen?

If policy making cannot be attributed to any clear logical sequence of steps this clearly makes it difficult for research scientists wishing to influence policy. R Sutton (1999) identifies a list of 21 factors that contribute to the development of policy[27].

If these represent factors that contribute to the development of policy, what can you do to ensure that these factors are in place?

Exercise 28: Below are factors that contribute to the development of policy. Which factors can you influence? (Yes or No)

	Factors Contributing to the Development of Policy	Ability to influence
1.	A new ground breaking piece of research is completed which defines a problem and clarifies appropriate courses of action to remedy it.	
2.	There are good links between and within agencies whereby lessons learnt from practical experience can be shared and acted upon.	
3.	A development problem analysed in a scientific, technical, way produces tangible data that offers something concrete to act on.	
4.	A person in authority has a particular interest in a certain issue and as a result those around him/her are influenced to work on it and develop policy in that area.	
5.	Events are timed in such a way that a person who is particularly interested in pushing forward an agenda is working at a time when	

[26] *Research for Policy's Sake: The Enlightenment Function of Social Research*. Weiss, C. 1977

[27] *The Policy Process : An Overview*. R.Sutton ODI Working Paper 1999 www.odi.org.uk/publications/working_papers/abswp118.html

	a powerful political authority has reason to be interested in the same agenda.	
6.	Timing is such that the publication of research work happens when a policy-making organisation is particularly interested in the issue being researched.	
7.	A situation develops which is represented as a crisis requiring rapid and dramatic action to avoid catastrophe.	
8.	There are good connections between interested parties, making a network through which ideas are exchanged and thoughts clarified about possible policy directions.	
9.	There is a dominant community, a particularly influential group that has close links with policy makers, and forces an issue on to the agenda and shapes policymaking.	
10.	There is a general consensus within an organisation or wider network that change is needed, a new policy direction is required and that old strategies are not working as well as they could.	
11.	A development problem is turned into a 'story', which simplifies it and sets out an agenda for action.	
12.	A dominant discourse or way of thinking becomes established which makes clear certain priorities, thereby simplifying a situation and providing guidance towards certain policy directions.	
13.	There is a code of conduct or best practice regarding a particular issue, creating guidelines as to how to act.	
14.	An organisation and the individual in it are open-minded and consider it important to adapt to new ideas from the external world rather than seeing it as a threat.	
15.	An organisation fosters innovation. People are encouraged to develop new ways of doing things and are confident others will consider their ideas with an open mind.	
16.	There is an individual or group of people who have an idea for a new policy direction. These 'change agents' carry the idea forward, explaining it to others and building a census towards a new position.	
17.	There is a network of people around the change agents who will respond to them and help them carry the process forward.	
18.	An organisation has a sufficiently flexible organisational structure to enable the development of new groups or units, which will be effective in seeing a policy change through.	
19.	Policy making and implementing bodies have sufficient authority to push a new policy through even if its not widely supported.	
20.	Resources within an organisation exist, or can be gathered together, to respond to a new way of working.	
21.	There is the required motivation and energy to use and mobilise resources to achieve the goals of policy innovation.	

This list suggests many dimensions to policy development for it implies that policy development is not only based on the quality of research findings, and the political arena, but also on issues relating to the social and institutional processes prevalent at particular times and places.

Whilst Sutton identifies what makes policies happen, Stone (cited by Crewe and Young)[28] identifies some of the reasons why research is being ignored by policy makers:

- Inadequate supply of, and access to, relevant information
- Researchers' poor comprehension of policy processes and unrealistic recommendations
- Ineffective communication in research
- Ignorance or anti-intellectualism of politicians or bureaucrats
- Inadequate capacity among policy makers
- Politicisation of research, using it selectively to legitimise decisions
- Gaps in understanding between researchers, policy makers and the public
- Time lag between dissemination of research and impact on policy
- Research is deemed unimportant, censored or controlled
- Some ways of knowing are seen as more valid than others

Clearly policy development happens in a complex environment, an environment which seems largely (but not entirely) out of the hands of the research team. Rather than looking at direct causal links, therefore, between research and policy, which as we have seen would be very difficult, current thinking has identified several influences, which together determine the likelihood of research outputs finding their way into policy. The identification of factors outlined above which contribute to the development of policy has been taken one step further and conceptualised by Crewe and Young (2002) into three categories;

1 The political context
2 The credibility of the evidence
3 Links between policy and research communities

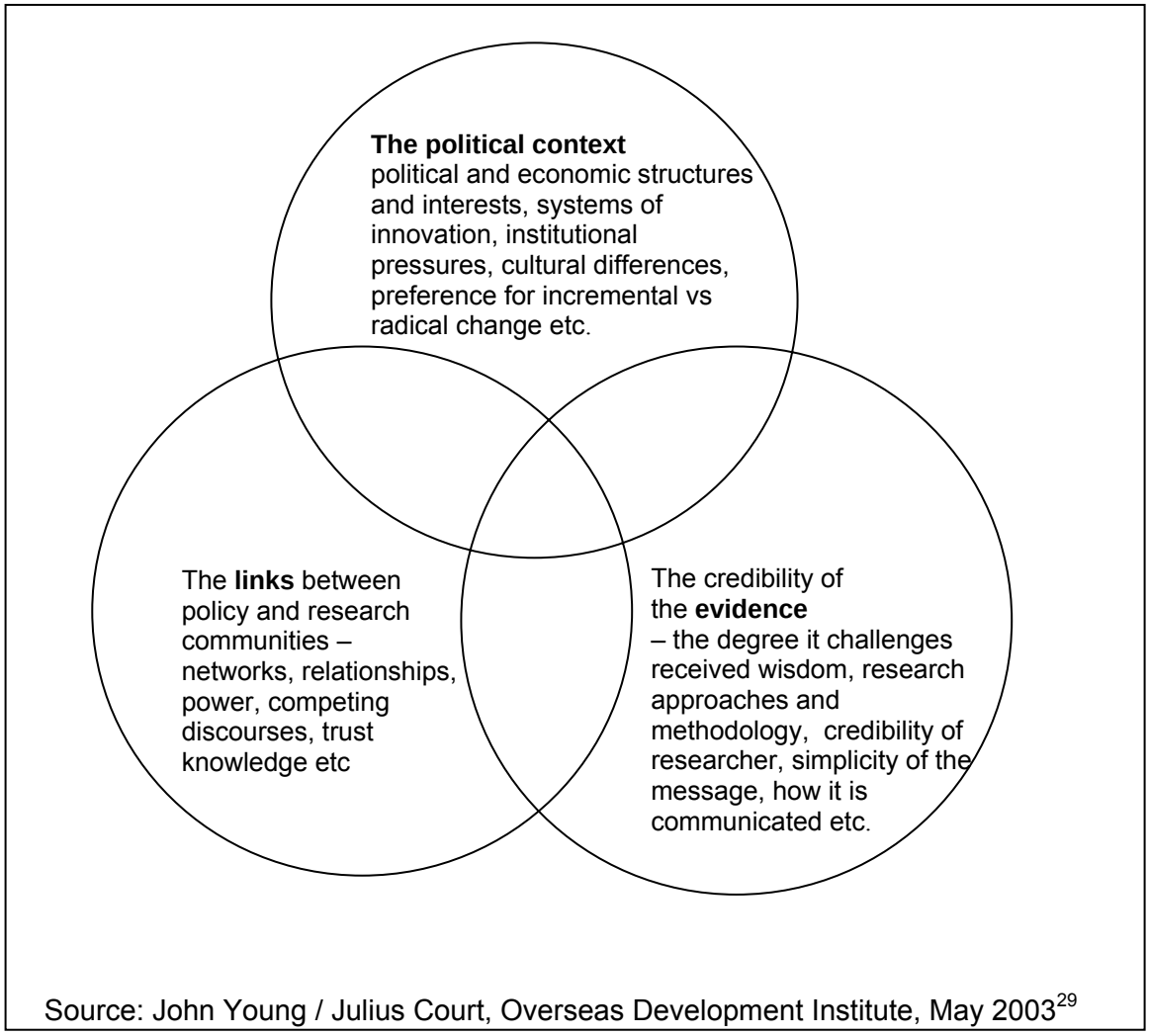
The framework for this thinking is set out in the diagram below.

This framework suggests that research is more likely to contribute towards evidence based policy if:

- It fits within the political and institutional limits and pressures of policy makers and resonates with their ideological assumptions, or sufficient pressure is exerted to challenge those limits.
- The evidence is credible and convincing, provides practical solutions to current policy problems and is packaged to attract policy makers' interest
- Researchers and policy makers share common networks, trust each other, honestly and openly represent the interests of all stakeholders and communicate effectively.

[28] Bridging Research and Policy; Context, Evidence and Links. E Crewe (UCL) and J Young.(ODI) ODI RAPID Working Paper 173 June 2002 www.odi.org.uk/rapid/Publications/Documents/wp173.pdf

Fig. 7 Factors Influencing the Adoption of Research Outputs into Policy



Source: John Young / Julius Court, Overseas Development Institute, May 2003[29]

5.4.5 The Political Context

Understanding the political environment as it affects policy development can help to explain the adoption and implementation of particular policies. Policy decisions are based on political values and interests that may not relate directly to those of the researcher. Understanding these is a key stage in securing the adoption of particular policies. For example, decisions may sometimes be made based on their 'palatability' and ability to attract least criticism, or on their 'ease' of implementation. Some researchers are looking to challenge the status quo but politicians may prefer policies that are based on an incremental change rather than those that involve significant or 'emergent' changes (which are often the outputs most favoured by researchers). The

[29] John Young / Julius Court, Overseas Development Institute, May 2003
www.odi.org.uk/rapid

issue is confounded by the urge to oversimplify messages. *Development narratives* – which explain development issues in simple terms - are a popular tool used to attract the attention of policy makers who are short of time and attention. These narratives tend to encourage policy decisions based on a broad blueprint 'one size fits all' approach. The oversimplification can be so compelling that the narrative persists despite clear observations to the contrary.

In addition to this, organisations, governments and donors, i.e. the policy makers, have their own development agendas and priorities that determine the areas of policy with which they are likely to engage. Research findings that do not relate to these priorities are unlikely to be developed into policies.

5.4.6 The Credibility of the Evidence

Research findings need to provide solutions to problems, and be based on a credible process of research and communication, in order to be adopted, both in practice and policy. A key part of ensuring credibility is to involve the end users in the research process and to pilot research project outputs. In some cases the source of the message is often as important as the message itself. Farmers for example are often more inclined to believe fellow farmers over and above 'experts'. People believe information from sources they trust and that have a proven track record. A clear communications strategy, using appropriate pathways, is therefore essential.

5.4.7 Links between Policy and Research Communities

As with uptake pathways for research project end users, so with policy making a network exists between the key actors. Such policy networks often explain how policy changes come about. Effective policy advocates will make the most of these networks in order to promote the adoption of particular findings into policy. Successful advocates need to be able to pass information on, be respected and have influence with the key policy makers; act as information specialists, educators or be powerful, charismatic and persuasive.

Exercise 29: What can you do?

Below is a table outlining what researchers need to know and what researchers need to do in order to have a greater influence on policy. Fill out the last column identifying how you could achieve this.

What researchers need to know	What researchers need to do	How to do it
Political Context:		
• Who are the policymakers?	• Get to know the policymakers, their agendas and the constraints under which they operate.	
• Is there a policymaker demand for new ideas?	• Identify potential supporters and opponents.	
• What are the source strengths of resistance?	• Keep an eye on the horizon and prepare for	

• What is the policy-making process? • What are the opportunities and timing for input into formal processes?	opportunities in regular policy processes. • Look out for – and react to – unexpected policy windows.	
Evidence: • What is the current theory? • What are the prevailing narratives? • How divergent is the new evidence? • What sort of evidence will convince policymakers?	• Establish credibility over the long term. • Provide practical solutions to problems. • Establish legitimacy. • Build a convincing case and present clear policy options. • Package new ideas in familiar theory or narratives. • Communicate effectively.	
Links: • Who are the key stakeholders in the policy discourse? • What links and networks exist between them? • Who are the intermediaries and what influence do they have? • Whose side are they on?	• Get to know the other stakeholders. • Establish a presence in existing networks. • Build coalitions with like-minded stakeholders. • Build new policy networks.	

Source: John Young / Julius Court, Overseas Development Institute, May 2003[30]

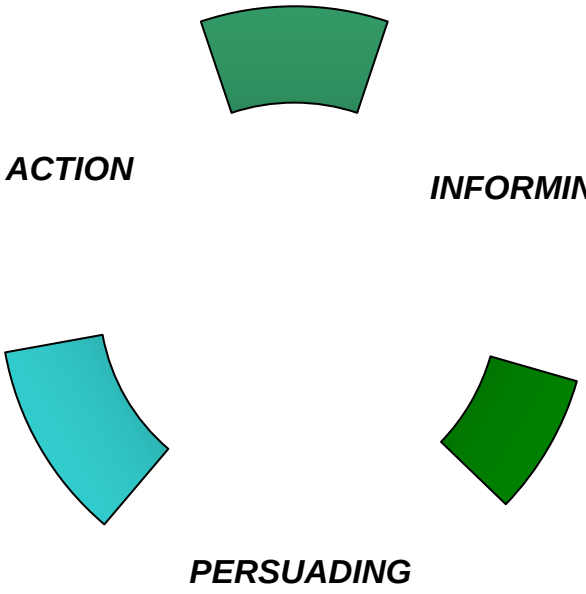
Learning Points Review:

1. Research outputs do not necessarily have a direct and easily accountable impact on policy development.
2. Policy decisions are based on a number of factors based on the political environment, credibility of the research evidence and links between policy makers and research communities.
3. Researchers can do a number of things to help promote the adoption of their research outputs into policy.

[30] John Young / Julius Court, Overseas Development Institute, May 2003
www.odi.org.uk/rapid

Part VI

The Role, Value and Methodology of Advocacy



6.1 Role of Advocacy: what is advocacy?

6.2 Value of advocacy: why do advocacy?

6.3 Methodology: key factors for developing an advocacy initiative

Session 6.1

The Role of Advocacy

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Identify what advocacy is and what it is not
2. Identify successful advocacy skills
3. Relate the 'pathways of influence' approach to your work

6.1.1 Introduction

You have already identified your stakeholders and considered what their stakes are and their power to secure them. In Part 7 in the workbook, you will consider how best you can engage with stakeholders by taking on one or more of these roles:

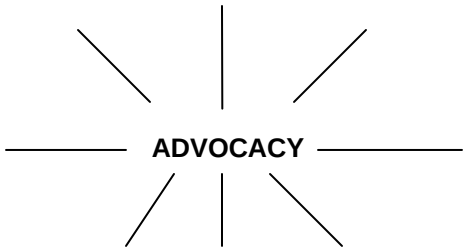
a) promoting and influencing individuals
b) promoting and influencing groups or sets of audiences
c) promoting and influencing the masses.

You may need to develop communication/promotion strategies for each of these three roles in order to promote the findings of your research.

The purpose of this module is to explain how advocacy can be integrated within each of the three roles so that these roles can develop from communication initiatives to advocacy initiatives. You can then build on the advocacy initiatives when you explore each of the three roles in depth.

Exercise 30:

What words come to mind when you think of advocacy? Write all of these down in the box below.



Share your ideas with the whole group. Then work in small groups to draft a definition of advocacy. Identify the similarities and differences between all the drafted definitions. Review the list of definitions and identify points that are consistent with your definitions.

6.1.2 Definitions

There are as many definitions of advocacy as there are groups and networks advocating. The multi-cultural and multi-language settings in which research projects operate create even more dimensions that we need to be aware of. However, we can extrapolate common language and concepts.

> *One definition*:
> Advocacy is the deliberate process of influencing, through targeted actions, those who make policy decisions.

There is also no universal formula for effective advocacy, but experience has shown that it is most effective when planned systematically.

What is Advocacy?

Things that constitute advocacy:

- Strategies to influence and change policy
- The creation and reform of policies as well as implementation and enforcement of policies
- Strategic and well targeted activities to key stakeholders and policy makers
- Intentional actions
- Do not have to be confrontational
- A process occurring over unspecified amounts of time (short- or long-term)
- Activities conducted at local, regional, national and/or international level

As researchers promoting change in the field of development you are probably already doing a lot of advocacy, *though you may not call it 'advocacy'*. Most projects have promotion strategies which aim to change policy. Many of you are already promoting your research findings by:

- directly influencing policy makers through different communication channels (face-to-face meetings, presentations, policy briefs, media interviews)
- indirectly influencing policy makers by directly influencing the general public and other persons who have influence over policy makers (through media campaigns, information campaigns using a variety of channels.)

The advocacy process moves from informing to persuading to action. First, you need to inform you audience(s) so as to raise awareness. Your message then needs to persuade your audience(s) either to change attitude/ behaviour or to take action. The process is complete when the policy maker (or decision-maker) implements the prescribed policy action.

What Advocacy is Not:
When defining advocacy, it helps to discuss what advocacy is not. The concepts listed in the table below are other concepts which are sometimes confused with 'advocacy' but which are distinct practices in their own right. Your research project may already be putting into practice some of these concepts, for example extension work or public relations. They may form *part* of an advocacy initiative, but none of them shares the ultimate goal of advocacy: influencing policy change.

6.1.3 Language and Local Context

Advocacy is to some extent defined by the national or regional context in which it takes place. Local definitions are particularly important when the term is translated into another language. The concept of advocacy does not translate readily into all languages. You may want to consult with local advocacy groups/experts to determine the most culturally appropriate translation for 'advocacy'. All the project stakeholders need to select and agree on a word or phrase that most accurately conveys the agreed concept of advocacy. Ideally, this debate would take place at the beginning of the project. You could then also incorporate locally agreed strategies for advocacy to promote research findings.

Exercise 31:

Think of a word or phrase to appropriately define 'advocacy' in your project context. If your project already has a definition, please include this. You may need to work in more than one language.

6.1.4 Successful Advocates

The tools and strategies for advocacy can be learned (see Toolkits 1, 2, 3 4, 5 and 6 in Part 7). However, to be successful, advocates need to possess certain individual and personal qualities, particularly:

- an ability to seek and win modest but strategic policy gains while creating more opportunity for larger victories
- creativity
- humour
- an ability to respond rapidly and seize opportunities
- an ability to build good relationships with people

Successful Influencing

Successful communication and influencing is a two-way process. This is elaborated upon in Annex I: *Psychological Aspects of Social Influencing,* which is provided for background reading. To influence another, you need to listen, learn about and understand the other party's context, motives, constraints, factors affecting behaviour, and their perceptions of the prospective 'influencer'. You need to be aware of a whole

range of factors spanning the social, psychological, cultural, ethic and organisational spectrum of the people you are trying to influence. The greater this awareness, the better chances you have to advocate in the right way, at the right time, to the right people. Please refer to later sections 7.2 and 7.3 in this workbook.

Here are some lessons regarding supportive factors which have facilitated successful influencing:[31]

- Strong will or realisation of need for change on the part of the partner
- A degree of cohesion and consensus amongst development partners about the need for change
- Commitment by the local partner to collaborate with an external partner in taking forward change or capacity building
- Capacity building is in itself a potentially effective entrée to influencing
- Responding sensitively to suggestions of a current or prospective partner
- Effective influencing depends on familiarity with the procedures, systems and constraints of the organisations or individuals being influenced
- Capacities for influencing are built up slowly; influencing takes time

6.1.5 Influencing Policy

Advocacy can work at different levels and use different approaches simultaneously. There are two broad categories:

- Attempting to influence policy directly (through pathways of influence)
- Developing the capacity of others for advocacy

As a researcher trying to promote the findings of your research, you will probably be dealing more with the first category, *making use of your research findings to influence policy.* The sections that follow will be focusing on this approach. However, in the long run, developing the capacity of project partners/collaborators/stakeholders for advocacy would be a crucial strategy to ensure sustainability of project output. Given the long-term nature of influencing the policy process, it is unlikely that impact of advocacy would be visible during the project lifetime. Project stakeholders therefore need to be trained in advocacy processes and techniques to be able to own and continue advocating research output well after the project has finished. This capacity building aspect needs to be taken into account when developing a project advocacy initiative.

The *pathways of influence* approach[32] can help you develop conceptual clarity about **whom** you are trying to influence, **how** to go about this, and **what** should be monitored to assess progress. The flow diagram below illustrates a hypothetical example of pathways of influence for pressurising decision-makers at government level. This diagram is useful in visualising, planning and monitoring the advocacy process.

After you have discussed the diagram, look at the different ways of influencing in the shaded boxes. Refer back to Exercise 29 in Part 5.4 and look at the column headed ‘How to do it.’ Do any of your ideas/ suggestions for this column overlap with the actions in the shaded boxes?

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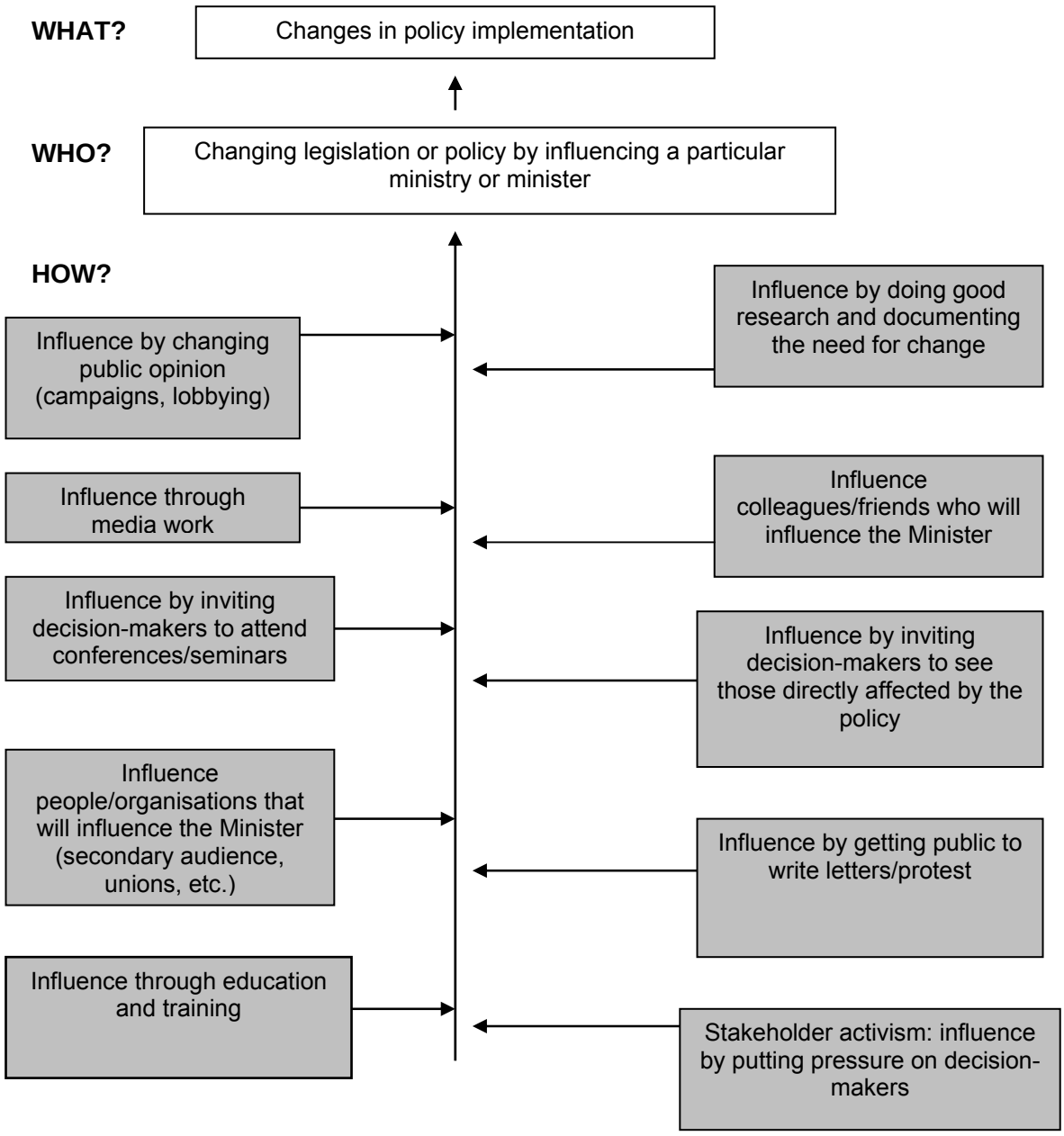
[31] Influencing Study Vol.1 Findings, conclusions and recommendations – final report, DFIDB,12-06-2002

[32] Toolkits, chapter 11 and Tool 13, SCF, 2003

Pathways of Influence



Learning Points Review:

1. You need to come to an agreed definition of 'advocacy' with project stakeholders in your project context and language.
2. Successful influencing depends to a degree on personal skills of the 'influencer' as well as awareness of a wide range of factors affecting those to be 'influenced.'
3. Advocacy skills can be learnt.
4. Use the 'pathways of influence' approach to develop a plan for **how** you want to influence key stakeholders and change agents.

Session 6.2

The Value of advocacy

SESSION OBJECTIVES: ***Upon completion of the session, you will be able to:***

1. Analyse the benefits of advocacy for research
2. Identify the implications related to greater researcher involvement in advocacy

6.2.1 The Benefits of Advocacy[33]

Since the mid-1980s, advocacy has been used as a tool by development organisations, in particular northern and southern NGOs, to persuade client groups to alter their policies and behaviours in relation to development issues. It was recognised that development and emergency work alone are unlikely to produce sustained improvements to the life of the very poor. Advocacy, especially southern advocacy, is linked to empowerment. Advocacy becomes a means to an end. It can facilitate the process by which people, through articulating their own needs and desires, gain the confidence and ability to influence decisions which will affect their own future.

Why Should Researchers Advocate?

Exercise 32:

Discuss the following:

1. Why should researchers get involved in advocacy?

2. What would be the benefits to your specific project, and how would research output uptake be improved?

3. What problems do you foresee in your project getting involved in advocacy work?

[33] The what and why of advocacy, BOND guidance notes series3, 22-5-2003.

Researchers need to develop presentation methods which are appropriate for the dissemination and promotion of findings to all audiences (not only scientific audiences). Researchers also need to be able to stimulate a decision-taking audience into positive action. As explained in section 3.6 researchers have a responsibility to address identified gaps in the research communication context. Advocacy approaches can help you do this by *actually influencing* decision-makers at policy level.

Advocacy methodologies are powerful. Advocacy goes a step further than dissemination and promotion by co-ordinating actions to influencing policy makers. Such co-ordinated action is based on an understanding that 'policy' and decisions are made at multiple levels. For example, the causes of poverty and discrimination stem from decisions at household and community structure levels, as well as decisions made within national legislatures, international organisations and powerful institutions.

Possible Implications

Saying that researchers have a responsibility to go beyond presenting their research to actually advocating policy change as a result of their research output has numerous *implications*. Researchers need to be skilled advocates, able to converse and influence in the necessary languages and contexts. They need to be able to empathise with their audience while at the same time promote their message. Most importantly, they need to know when to use a particular communication and influencing method with a particular audience. This raises human resource management issues regarding training, organisational procedures and capacity building.

? For your project, can you think of specific human resources-/ management- related implications which would arise?

6.2.2 Reasons to Postpone your Advocacy

Advocacy is central to your project promotion strategy. However, there might be valid reasons to postpone advocating. For example: the political situation may be unfavourable; you may not have the right alliances or networks; or you may want to wait for a more influential/ strategic/ humane policy maker or decision-maker. Having advocacy skills also means knowing when best to maximise a situation, event or contact, and when to wait, if necessary, for a more strategic opportunity.

When organisations across the development spectrum discuss the potential benefits and risks of undertaking more advocacy work, the generally recognised risks include[34]:
- diversion of scarce resources
- alienation of existing support by becoming overtly political
- distortion of message because of over-simplification
- conflict of interest with partners
- damage to reputation

It could be argued that being an advocate undermines the authority of the scientist. If scientists are perceived to side with, or actively support, a particular opinion or policy shift they may be less likely to be trusted as providers of impartial codified knowledge. From this perspective, the role of researchers would be to remain impartial, to promote and disseminate the findings of their research, but refrain from actively getting involved in advocacy.

However, you are all working on research whose ultimate aim is to improve people's livelihoods. You role is to push for change, rather than worry about damaging your 'scientific' authority. After all, the credibility of research findings is also affected by research approach and methodology, as well as researchers' personality and reputation[35].

Exercise 33:
With a partner, discuss examples of situations when it may be more suitable to postpone advocating. Can you think of some real examples from your project? Record key views here.

Learning Points Review:

1. Researchers can use advocacy to stimulate a decision-taking audience into positive action.
2. There are many valid arguments supporting researchers taking on advocacy; however, it may also be argued that in doing so they compromise their scientific impartiality.

[34] The what and why of advocacy, BOND guidance notes series3, 22-5-2003.
[35] Theoretical models, p.2, RAPID, 2003

Session 6.3

Key Factors and Exercises for Developing an Advocacy Initiative

SESSION OBJECTIVES: ***Upon completion of this session, you will be able to:***

1. Analyse key considerations before engaging in advocacy
2. Apply practical exercises to assist you in developing and advocacy strategy for your project

There is no 'right' way to design an advocacy initiative and each one is different. Part 6.4 contains an example of a possible uptake pathway illustrating how to plan an advocacy initiative. It outlines the four main steps, or building blocks, for planning an advocacy initiative, and contains tables to show what each of these steps entails in detail. Read through this plan of an advocacy initiative before you finalise your Promotion Strategy Matrix later in the course. It provides a step-by-step checklist of essential questions which will help you in planning your own project advocacy initiative, should you decide this is a key uptake pathway for your project.

The advocacy initiative outlined in Part 6.4 does not end at the end of step 4. Having monitored your impact throughout the process and subsequently evaluated impact at certain points in time, the lessons learnt need to be fed back into the whole initiative. The process of developing an advocacy initiative is a circular one involving constantly reviewing assumptions and decisions made earlier in the process.

6.3.1 Key Considerations

We now look at some **key considerations** you need to think about before deciding how, and to what extent, to engage in advocacy. The 4 stages outlined below will give you ideas about where to go for advice, how to find partners and how decisions are made. They will enable you to understand and minimize risks, and to ensure that your research priorities fit with the clients' priorities. A number of these points were raised in Part V (promoting stronger research/policy links) as suggestions for what researchers can do to encourage better adoption of research outputs. The 4 stages which follow are <u>not</u> sequential steps for an advocacy initiative. They are highlighted here because they are easily-forgotten stages in the advocacy initiative. Please refer to the relevant steps in Part 6.4 as noted to see how these considerations fit into the 4 steps for planning an advocacy initiative. The leading questions are aimed at helping you focus on each point. The boxes with 'Tips' provide relevant tips and suggestions.

Easily-Forgotten Stages

1: Gathering policy and political information (Part 6.4 Steps 1a, 1b, 1c, 1d)
2: Assessing risk (Part 6.4 Steps 1b, 1d, 2b, 2d)
3: Building strategic relationships (1c, 2c, 4b)
4: Establishing your credibility as an advocate (1d, 3a, 3d)

1: Gathering Policy and Political Information

Analyse policies and political institutions:

Key questions: What do you know about relevant policies in your project area?
Who are the key policy makers and where do they work?

Understand the political environment:

Key questions: How are leaders chosen?
Who are the respected or powerful groups in politics?

Understand community concerns:

Key questions: What are the key community policy concerns?
Which are the most influential civil society groups?

2: Assessing Risk

Make informed judgements:

Key questions: Are you considering any issues that pose risks of violence?
Will you be perceived as biased or partisan?
Are you in touch with political trends?
Have you identified unacceptable risks in advance?

3: Building Strategic Relationships

Establish connections with policy makers

Key questions: Who's in charge?
Where do policy makers go for advice?
How are they influenced, and by whom?

Establish connections with different sectors of civil society

Key questions: Which groups does your research project interact with most/ least?
Are you involving as many different groups as possible in your research output?
Which groups in civil society need to be involved in your advocacy initiative as:
- promoters?
- key change agents to influence others?
- target audience?

Network with other organizations:

Key questions: Who is doing effective advocacy?
Who are possible advocacy partners?
How can you build on relationships formed through your project and other related projects?

TIPS for strategic relationships

- The greater the mutual trust between researchers and policy makers, the greater the likelihood of research outputs being used.[36]
- Stimulate/initiate/develop active and less formal dialogue between clients and policy makers.
- Spend time nurturing these strategic relationships. Learn about the individuals involved and their organisations.
- If you/ or the other party leave your position, try to ensure handover includes a debrief about particular contacts, and that introduction to the new person is followed up to maintain the relationship.
- Make sure you have frequent ministerial-level interactions. Exploit favourable contacts and relationships.

TIPS for Networking

- Form strategic alliances with researchers; intermediate/ brokering organisations (including NGOs); producers of goods and services.
- Form informal networks and trust relationships between players who are central to knowledge systems (this comes after having identified the key change agents see part IV).
- Pool and share knowledge internally (project-related) and externally (wider audiences).
- Involve scientists/researchers working on the same topic from countries where such research is not sponsored/funded.
- Form an advocacy network: via intranet or website accessible to outsiders too. Meet, discuss, comment on project advocacy strategies. Learn from each other about how best to advocate for the uptake of research results in changing policy environments. Mutual support can have a cumulative effect.
- At local and national level, each advocacy network needs to link to relevant stakeholders (in-country research institutions; education centres; NGOs, CBOs etc) to foster a learning and sharing environment, and to have a wide network for support and promotion.
- It is likely that joint efforts will have greater impact; however a network that is too large becomes unmanageable and less flexible.
- Try to have personal introductions to networks (formally or informally)

[36] From a Conceptual Framework, RAPID, p2, 2003

4: Establishing your Credibility as an Advocate

Build up expertise to establish credibility with policy makers:

Key questions: Do you, or your partners, have valuable information to share?
Are you acknowledged as a trusted source of information?

Build up relations with communities to establish credibility with the public:

Key questions: Can you, or your partners legitimately speak on behalf of the community/client?
Who is the most effective spokesperson for the people involved?

TIPS for establishing credibility

- Ensure the voice of the client/user is heard and acknowledged/verbalised
- Given the concerns about partisanship and advocacy undermining researcher credibility, you should find project partners who can legitimately speak on behalf of clients (e.g. a community-based organisation (CBO) working in the project area).
- 'Credibility' of those doing the advocacy is key in having sustained influence.

6.3.2 Practical Exercises

This section provides a number of practical exercises which may be useful during the development of an advocacy initiative. You will work on some of these exercises during the session, noting in particular which are most relevant for helping you target your advocacy to individuals, to groups and to the masses.

6.3.2a Identifying Actors: The following table might help you "map" who the main actors are with regard to the policy you seek to change and what their scope of influence is. This exercise is useful for developing your Promotion Strategy Matrix. It can help It can help you identify who the change agents are and what degree of influence each one has over the policy process.

Example of a Policy Map

Actor Name and position	**Environmental policy decisions formally controlled**	**Activities that affect policies** What does this person do that directly/indirectly affects policies?	**Degree of influence on policies** High/medium/ low	**Motivating interests**	**Resources** Contacts/ authority/ power/ Financial
E.g. Minister for Environment/ Agriculture					
Other political leaders					
Local NGOs/CBOs					
Donors					
International organisations					
Research institutions					

Exercise 34:

Together with your project group, analyse the policy environment for your project and create a policy map. Identify the main actors, and for each one note down in the relevant columns the extent to which they control, affect and influence policy, what their motivating interests are, and the resources they can access. Feed this information into your Promotion Strategy Matrix.

Locating the actors/ audience

Exercise 35:

Your research project objective is to recommend and promote appropriate principles for forest laws and regulations (based on reconciliation of customary and statute law). In your group, develop an advocacy objective for this, and then brainstorm all institutions and individuals with interest in your issue/objective (supporters, opponents, undecided, or unknown). Place each in the Power Map below. Undecided or unknown actors can be placed closer to the Neutrality line. If any actor is closely linked to another actor they should overlap/touch to reflect the inter-relationship.

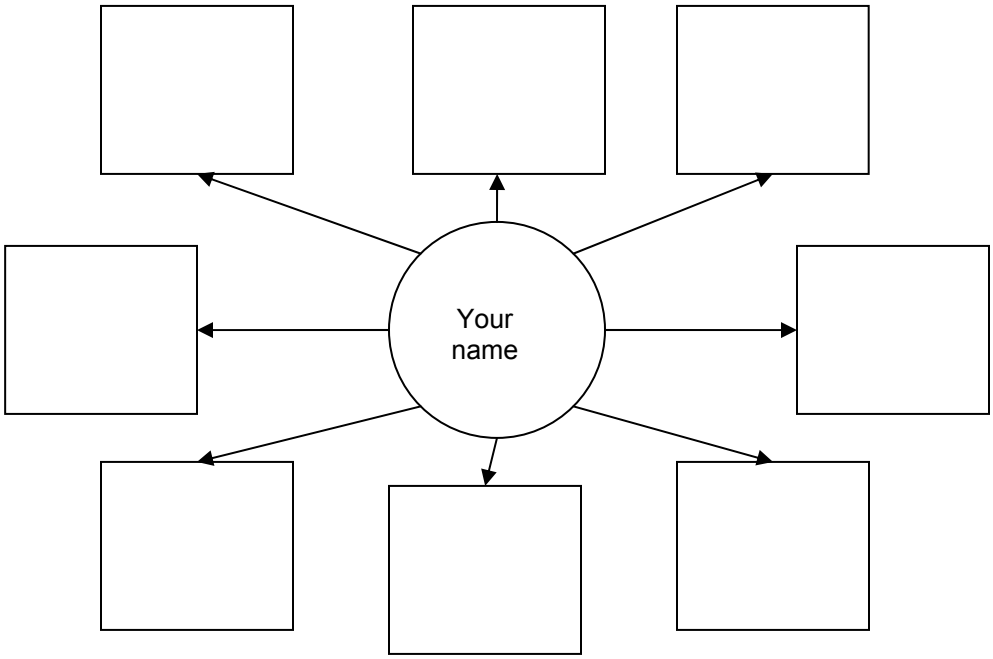
Your project advocacy objective:	
Support	Opposition
Neutrality Line	

Identifying Allies

A key success strategy in advocacy is to work in networks or coalitions. Networks are invaluable in policy advocacy because they create structures within which organisations and individuals can share ownership of common goals.

Exercise 36:

Map your personal network. Write the names or initials of people or organisations with which you have strongest links in the squares. You may need to add more squares.



Discuss:

What is the nature/frequency of the contact? Is it a personal or professional relationship? Which organisations or individuals appear on more than one map? Which participants appear on other participants' maps?

Benefits of networks

- Keep you up-to-date on what is going on
- Provide a ready made audience for your ideas
- Provide support for your actions
- Provide access to varied and multiple resources/skills
- Pool limited resources for the common goal
- Achieve things that single organisations/individuals cannot – there is power in numbers!
- Form the nucleus for action and attract other networks
- Expand the base of support

Research projects cannot operate in isolation in the scientific arena: there needs to be more sharing of outputs/ideas/knowledge/strategies with and across other disciplines.

The Effective Message (see Toolkit card 1)
The five elements of an effective message are:

- Content/ideas (concise, consistent)
- Language (simple, appropriate, tone and language consistent with message)
- Messenger/source (has to be credible)
- Format/medium
- Time/place

Exercise 37: One Minute Message Exercise

Case study: Consider your project objective. Practise delivering one-minute advocacy messages for this project. The message needs to have 4 components:

Statement + Evidence + Example + Action desired

Use one, maximum two sentences per component. Ensure you include all four components. You have only ONE MINUTE to deliver your message. When you are ready deliver your message to the group.

	+		+		+	

Identifying your target audience is the basis for choosing the appropriate medium of communication you are taking on. You need to decide whether your approach will be one of confrontation or engagement based on a need to influence the wider public or just one individual.

Consider communication methods other than 'scientific' ones. Use other traditions, e.g. stories/lore/folktales/imagery/values/customs: refer to these, incorporate your research data into these or use them as metaphors. The aim is to provide 'new' information in a locally recognized and accepted format. People are more likely to remember or learn if there is reinforcement of their own values.

6.3.3 Monitoring and Evaluating Advocacy Success[37]

The advocacy strategy you need to develop will be specifically and individually suited to your project's current and expected needs and context. It is important to use a range of methods to get the information you need, and to cross-check the information. The methods also need to be suited to the nature of the advocacy work and provide information that is timely and useful. Your project will already be using monitoring and evaluation methods which you can adapt to your specific advocacy needs. You will need qualitative and quantitative indicators to monitor progress and evaluate (assess) impact (explained in more detail in part IX.) Table 1 below identifies possible advocacy indicators which you may find useful for monitoring or evaluation purposes. Table 2 provides examples of key questions for evaluating an advocacy initiative.

Tips:

- Remember to track progress for monitoring purposes. For example, if assessing the popularity of a radio programme containing research output, you can track listening figures for the programme; audience ratings; people's awareness before and after programme. If monitoring the demand for a training manual, you can track its distribution; how many copies have been sent and to whom.
- Changes take a long time to yield results that can be measured at household level. You need to allow for time to elapse when planning to evaluate impact.
- Impact can be measured, but attributing improvements in people's well being to your advocacy initiative will be difficult to argue.
- It is easier to assess if a new policy has been created or an old one changed (changes in legislature); it is more difficult to measure the implementation/enforcement of advocated policies.
- You cannot assume policy change is implemented unless you have witnessed all the stages involved. For example, ministers may have agreed a new policy/ legislation, and have authorised a budget for this. However, this is not the end of the process. This budget then needs to be dispensed to the relevant Ministries, the local; government and finally to service users for the policy change to be acted on (see Table 1- Budgets.)

[37] Adapted from Toolkits, SCF 2003

Table 1: Identifying Advocacy Indicators

What to monitor	Possible indicators
Your relationships	• Changes in frequency and content of conversations with external sources and target audiences. Are you discussing new ideas? Are you becoming a confidant or a source of information or advice? • Face to face. Wide range of characteristics of meetings in particular contexts signal significant achievements or changes. Generalisations are difficult and possibly inappropriate. Certain events signify the establishment of trust between parties, but not necessarily the movement of the relationship towards advocacy initiatives.
The media	• Quantitative: volume and range of publicity. • Qualitative: analysis of contents and media response. E.g. column inches on your issue and the balance of pro and anti comment. The number of mentions of your project/research. Analyse whether media is adopting your language.
Your reputation	• Record the source and number of enquiries you receive as a result of your work. Are you getting to the people you wanted to get to? How and where have they heard of your work? How accurate are their preconceptions about you and your work? • Perceived legitimacy of the researcher/project staff as an advocate can be an indicator.
Public opinion	• Analyse the popular climate through polling/ surveys
The target	• Changes in knowledge and attitude of immediate recipients of the advocacy communications? What type of changes would be expected if advocacy messages were having an effect?
The stages	• **Changes in rhetoric**: record and observe changes in rhetoric of target audience. Keep a file of their statements over time. What are they saying about you and your campaign? Are they moving closer to your position, adapting to or adopting any of your language or philosophy? • **Changes in policy or legislative outputs**: it is possible to differentiate between generic types of policy change and their relative importance (e.g. by looking at the authorities involved, and the explicit and public nature of policy statements) • **Budgets**: are important policy statements, signalling a real commitment to specific priorities. Budget allocations and expenditure can be monitored. e.g: -Whether the budget is allocated -Whether the budget leaves the Ministry of Finance and is received by the Ministry, which will be involved in implementation. -Whether the resources are received by the relevant local government agencies -Whether this translates into resources available to service users and citizens • **Changes in behaviour**: **Policy implementation**. To what extent has new policy or legislation been translated into administrative procedures or institutional practice? • Where policy change is local it may be possible for local groups to monitor its implementation • Include within the policy change the commitment to report on progress • Seek agreement to allow independent monitoring, in addition to internal monitoring. • Who bears the cost for monitoring? Implementers bearing costs may signal greater commitment

Table 2: Examples of Key Questions for Evaluating an Advocacy Initiative[38]

Evaluating impact	• Have policy changes resulted in improvements in people's quality of life? Why/ why not? Can you provide data to support your findings?
Evaluating effects	• Has the policy change you are trying to achieve occurred, or are the prospects better than before? • Have new policies been approved, or outdated/adverse policies been changed? At what levels? Why/why not? • What factors enabled/hindered the success of your policy change? • Were bills or proposals formally introduced in the legislature or other government body, or were informal decisions made? • Who made the final decisions that enabled/hindered your policy change?
Evaluating your strategy	• Did you select a primary and secondary audience? Did you have to change the targets of your advocacy along the way? Why/why not? • Did your advocacy messages change your audience's opinions or knowledge of the policy issue? Which messages were most successful, and which failed? • Did you advocate in a network/coalition? What were the benefits/drawbacks of this? • Has your advocacy increased the ability of community groups/CBOs to represent their own interests? • Did the advocacy raise public awareness and interest in the policy issue? • What were major obstacles faced by advocacy initiative? What did you do to overcome these? • What can you learn from your strategy for future advocacy initiatives?

Learning Points Review:

1. There is no 'right' way to design and carry out an advocacy initiative.

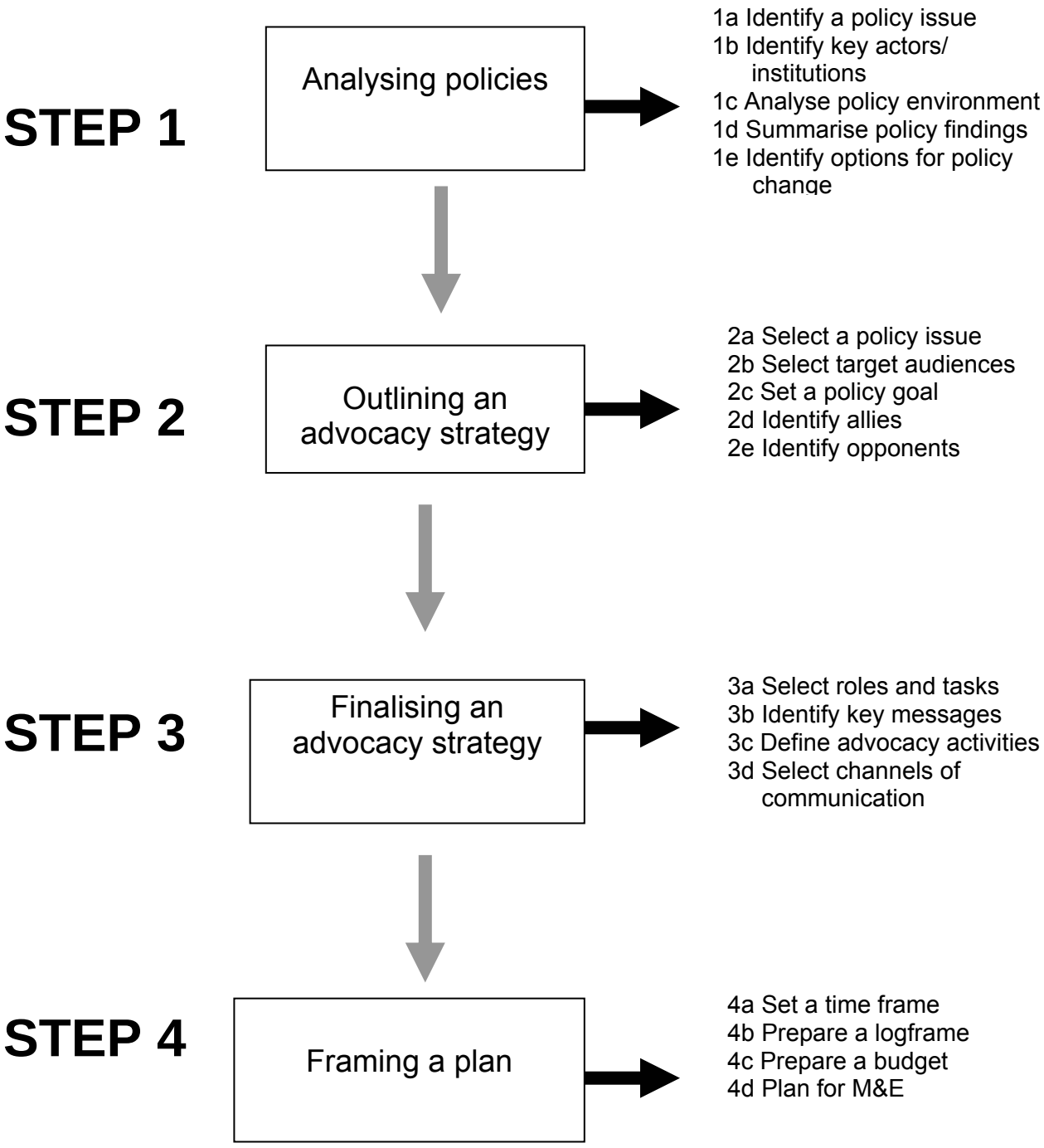
2. You can adopt a step by step approach using the questions in Part 6.4 as a guide to develop your own project-specific advocacy initiative.

3. Careful planning of an advocacy initiative, including planning of monitoring and evaluation, is more likely to lead to success.

[38] Advocacy tools and guidelines, CARE, 2001

Session 6.4

Planning an Advocacy Initiative



STEP 1: ANALYSING POLICIES

Steps you can take	Questions to explore
1a Identify a policy issue	• What is the problem you are concerned about? Who does it affect?
1b Identify key actors and institutions	• Who makes the direct decisions about the policy issues you identified? • Who can influence the decisions of policy makers? • Are policy makers and those who can influence them interested in the issues? What resources do they have? What position and opinions do they have in relation to the said policy?
1c Analyse the policy environment	• Can people participate in policy decisions about the identified issues? What channels exist for them to participate? • Where are key decisions on these policies made and who controls such decisions? • Are the identified policy issues widely discussed? Is the topic of interest to the general public? Has pertinent news been featured in the media? • Is the policy a priority for the current government? Does the government plan to make any changes to existing regulations? What related policies were approved or rejected in the last few years? • What changes may occur in the political arena? Are elections coming up? How could they affect the issues you have identified?
1d Summarise policy findings	• What are the direct causes of the problem you identified? • What policy maker actions led to the problem? Why have policy makers taken these positions?
1e Identify options for policy change	• What policy changes would yield the desired result? i.e. would have a positive impact on the problem? • What are your best options for policy change? • What will happen if nothing is done regarding these policy issues? • Which policy solutions are likely to attract significant support, or face significant opposition? • Who should take the lead on bringing the policy solution to the attention of policy makers?

STEP 2: OUTLINING AN ADVOCACY STRATEGY

Steps you can take	Questions to explore
2a. Select a policy issue	• Which policy issue is critical for addressing the problem you identified? Which policy change is your best option for a significant impact? • How many people will benefit if a policy change is achieved? • Do opportunities exist for working with others on this policy issue? • Are potential risks acceptable or not? • Can researcher/project effectively advocate on this issue?
2b. Select target audiences Note: Primary Audience = individuals or groups of people with direct authority to make policy changes. Secondary Audience = those people who can influence the decision of the primary audience.	• Who are potential target audiences? • Who has the potential to make these changes? Who are the potential primary audiences? • Who has the greatest ability to influence the decisions of your primary audience?
2c. Set a policy goal	• What should your advocacy initiative accomplish? Who will make that change? By when will this change be achieved? • Can you clearly articulate the final or impact goal of your advocacy initiative? • Can you clearly articulate policy goals at the effect level?
2d. Identify allies	• Which other organisations/groups/individuals are concerned or already working on the same issue? • Do coalitions exist or do they need to be established? • How can you contribute to the effort of other organisations/projects? • What role do these organisations want you to play and what do they expect from you? • What are the advantages and disadvantages of forming networks or coalitions which each of them?
2e. Identify opponents	• Are there any organizations/groups/individuals who oppose the proposed policy change? • What threat do they pose to the success of your advocacy initiative? • What can you do to reduce the influence of opponents?

Additional exercise for Step 2

Once you have identified your audience, you can conduct a target audience analysis. Begin by identifying which of the actors are Primary and which are Secondary audience, and then complete the form below. This will define the levels of knowledge, support and opposition of each part of your target audience and help you define the overall advocacy strategy.

Primary and Secondary Audience Analysis Form					
Advocacy objective:					
Target Audience	**Level of knowledge about the issue (rank 1-5) 1-low; 5-high**	**Level of previous support demonstrated 1-low;5-high**	**Level of previous opposition demonstrated 1-low;5-high**	**Undecided position/ unknown**	**Potential benefits to audience related to the issue**
Primary Audience = individuals or groups of people with direct authority to make policy changes.					
Secondary Audience = those people who can influence the decision of the primary audience					

STEP 3: FINALISING AN ADVOCACY STRATEGY

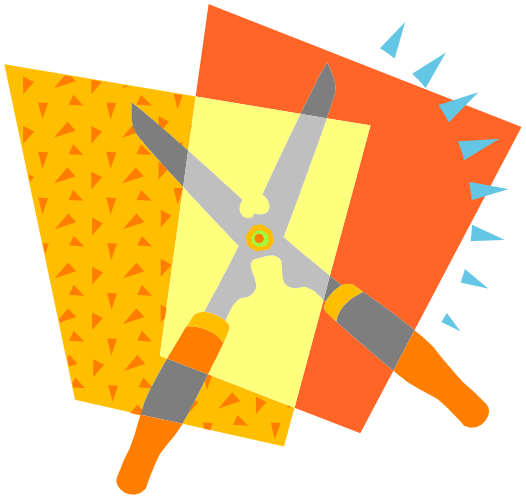
Steps you can take	Questions to explore
3a. Select roles and tasks	• What is your best choice for exerting influence on your target audience? • Can you use your relationships with policy makers for providing technical advice on policy issues (expert informant)? • Do you want to take a visible approach and address your target audience personally (lobbyist)? • Can you support other organizations in their efforts to carry out advocacy (capacity builder)? • Can you broker competing interests of various groups and through mediation achieve policy change (broker/mediator)? • Will you use a public approach via the media or a private approach such as face to face meetings?
3b. Identify key messages	• What do you want your target audience to hear? • What policy change would you like your target audience to support? • What specific actions do you want your audience to take? How can you convey that to your audience?
3c. Define advocacy activities	• What steps do you have to take to convey your message to your target audience? • What activities need to be carried out in order to achieve your policy goal? • How can you most successfully convey messages to your target audience: working through the media or coalitions, arranging site visits or meetings, writing a letter, other tactics?
3d. Select channels of communication	• Select channels of communication which are credible to target audience • Select your role (influencing the wider public; influencing groups; influencing individuals on a one-to one basis) and then select appropriate communication channel. • What sources of information do people have access to and ownership of? • What methods are currently used to convey this information? Are these effective?

STEP 4 : FRAMING A PLAN

Steps you can take	Questions to explore
4a. Set a timeframe	• How long will it take to achieve your policy goals? • Is the policy environment likely to change quickly? How flexible is your timeline?
4b. Prepare a logframe	• Do you have all the elements you need for summarizing your advocacy in a logframe? • Can you clearly articulate impact, effect goals, outputs and activities? • What indicators can you use for measuring the progress of your initiative towards achieving goals and results? Where can you obtain information on your progress?
4c. Prepare a budget	• What are the costs of your planned activities? • Have you included unexpected expenses? Have you considered all budget categories? • From which sources can you obtain funding for your advocacy initiative? From allocated project funds; or do you have to seek additional, external funding? What donors have funded advocacy initiatives in the NR sector/ in general development programmes in the project country? • What are the priorities for donors that have funded advocacy? Are they interested in NR issues? Do they have a geographical focus? • What type of advocacy initiatives have they recently funded? What amounts were provided to those initiatives? • How can you find out more about a donor? Who in your project knows? Do you have any other contacts that may facilitate donor access?
4d. Plan for M&E	• Have your target audiences changed their knowledge, attitudes, awareness or opinions regarding your policy issue? Where can you get this information? • Can you track your initiatives, such as the number of messages sent to target audience? • Have political conditions changed since you planned your initiative? • Does monitoring data indicate that your activities have achieved the desired outputs? If not, does monitoring information help you decide how to adjust, revise or re-direct your activities? • To what extent has your advocacy initiative achieved impact and effect goals? Can impact be measured at the end of advocacy initiative or not? • Can you determine what made policy makers change their opinions and actions? • What lessons can be learned for your next advocacy initiatives?

Part VII

Practical Tools and Skills



7.1 Introduction

7.2 Key considerations for each of the 3 influencing levels

7.3 Who are your research results for?

7.4 Activities to Practise skills

7.5 Additional Exercises

Toolkit Cards

Session 7.1

Introduction

How to use Part VII

In this introductory section of Part VII, we summarise points relating to the repackaging the research message for different audiences; taking into consideration the needs of the poor and the role of researchers as advocates. The general communication process is depicted in 2 different diagrams and strategies for improving communication are suggested. The three broad groupings for influencing - individual, groups and masses - are then described and summarised in a comparative table. Part 7.2 outlines key considerations for each of the three influencing levels, through lead questions, including pointers on cultural differences in different contexts. Part 7.3 provides lead questions on the importance of researchers knowing which audiences their research is targeted at. Part 7.4 consists of activities to practise the influencing skills for each of the three levels. Part 7.5 'Additional exercises' section provides more optional exercises. At the end of this section you will also find a set of 16 Toolkit Cards which provide "How to…" guidelines, tips and advice for different types of influencing. These Toolkit Cards are designed for reference throughout the course.

Read part VII before the practical skills day on the course. You will be practising the activities in part 7.4 and using the Toolkit Cards as reference for this. The trainers may ask you to do self-study or homework exercises from 7.5 in preparation for the practical day.

Key points

As well as the constraints identified earlier (part V), some of the main hindrances to research uptake include misinformation, corruption and weak implementing agencies. The challenge for researchers is *how to convincingly communicate research results, in particular to non-researchers, so as to make a difference in this constrained environment?*

Repackaging the Message for Different Audiences

Different audiences need different messages delivered through different methods and channels. *The same research product message that you have to deliver needs to be repackaged in different ways so as to be meaningful and appropriate to the various client audiences you have identified*. You may need a formal presentation to key ministers, donors, other research institutes; a press release to generate interest through the mass media; radio interviews for specific audiences; a policy brief timed to coincide with parliament discussion on new laws; or even a drama roleplay with extension agents and community members aimed at community groups.

In each case the key message you want to deliver needs to be 'packaged' in such a way so as to be most effective and have maximum impact. You will have researched that specific client audience, taking into account a variety of factors including social, cultural, work ethic, constraints, and linkages. You will then choose the communication method (or variety of methods) most appropriate for that specific client audience. The actual content of the message will also vary, as will your tone, language and focus.

Considering the Poor

Disseminating research results to the poor can be especially challenging. Poverty and marginalisation link to limited access to media and information. Language barriers, physical remoteness, social isolation, exclusion of women and other marginalised groups from public space and life in some countries, all create communication challenges.

Different situations call for the use of different methods of communication. Much of the work in developing a communications strategy involves defining which channels are most likely to reach those who would otherwise be marginalised. Access by the poorest to the media necessary to receive mass information is improving through a variety of means. These include radio groups with shared access to a radio, and greater mobility through improved road and rail links to remote areas. Other areas to consider are timing of messages and literacy levels of the receivers.

Don't forget the value of participation in the process of research results dissemination: this can help address failures to ensure you present your research results in the right format, language and medium for poor people to access. This might mean using methods that you, the scientist, may not be familiar with using. In a poor and rural community, word of mouth or a trip to the market might be the most common information source. For many key stakeholders, newspapers or television may be a more common source of information than a research report or a workshop, or encouraging the use of indigenous art forms that are culturally specific, such as a village level theatre, puppetry or oral recitals. It is most important that we tap into all of the ways which lay people receive and pass on knowledge.

Researchers as Advocates

You will have understood that all researchers (not just the project leader) need to be able to advocate the results of their research whenever the opportunity arises. This may be in arranged meetings with ministers, donors, the press; in chance encounters with representatives of the client population such as in a market place, community gathering, village meeting; or in impromptu encounters with potential key change agents or persons who can influence them (eg. the encounter in the lift with the minister's right-hand man; the chance radio interview; meeting key donors at a social gathering). Part VI looked at characteristics and skills of successful advocacy. Advocacy skills can be learnt and the Toolkit Cards in this section are designed to help you do this.

By now you will have developed a Promotion Strategy Matrix for your project. You will have identified:

a) key change agents among project stakeholders who are the key people to influence, as well as key client audiences
b) what 'routes' research information will take to reach these (direct from project, or indirect through intermediaries and channels (part 5.3)

You then need to decide which methods of communication are most effective for each. The promotion of research findings and innovations may be undertaken for a variety of reasons and to a variety of stakeholders. Broadly speaking, these methods fall into three groupings/ levels: one to one communication for influencing individuals; communication for influencing groups and mass media communication for the general public to create a critical mass.

A Note on the Communication Process

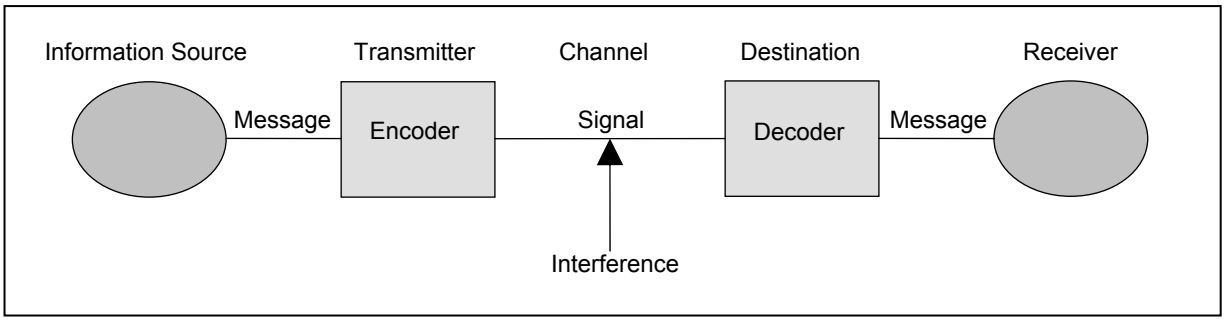
The findings from research are not simply 'results' or 'answers' or 'findings'. As outputs, they serve a specific purpose i.e. to address an existing or anticipated problem and it is important that their interpretation and meaning is communicated to those who can use the results.

It is difficult to ensure that the true meaning of a message is transferred to and understood by its recipient as intended.

There are many factors that may distort the message or cause interference. We will look first at the communication process (figure 1) and then at strategies for dealing with message distortion in this process (figure 2).

Figure 1 represents the communication process.

Figure 1: The Communication Process



The message is sent from the information source to the receiver via a communication channel. Before the message is transmitted it must be encoded, and the receiver then decodes it again. For example, the information source may be an idea that is encoded by writing it down; the receiver decodes the message by reading it.

Another example is a telephone call. Some information is lost during the process due to interference and some new information will be created during the interpretation of the message by the receiver. The more times a message goes through the communication process, the more distortion is likely to occur.

The 'communication channel' or media chosen needs to be selected carefully so that the message may be easily accessed by the 'receiver' and interpreted as closely to the intended message as possible.

When communicating:

- attempt to reduce the interference that may distort the message (Toolkit 1)
- think about how messages will be interpreted (section 7.3)
- use appropriate 'communication channels' for delivering messages (Toolkit 1)
- avoid giving out conflicting messages (Toolkit 1)
- be aware of the 'culture' in which the messages are being delivered (section 7.2.4)

Figure 2[39] overleaf shows how communication between a sender and receiver can be distorted, and identifies strategies for overcoming these distortions

Often, the message that sender wants to communicate is NOT the one understood by the receiver. WHY?

Whenever sending a message, the message is influenced by the speaker's/ sender's beliefs, attitudes and knowledge. The same factors influence the way the receiver interprets the message.

Messages can be distorted by the speaker's tone of voice, choice of words, physical condition, personal feelings towards the receiver, and the environment and time of day. These are distorting factors for the sender.

Similarly, a distorting set of factors affect how the message is received. These include the level of interest, personal feelings towards the sender, physical conditions and environment, and demands on time.

Communication can be improved by adopting strategies to reduce or eliminate distorting factors. These strategies include:
Using both open and closed questions to clarify meaning
Relying on multiple communication channels to verify the message and its meaning
Using simple language when speaking
Providing limited information to reduce confusion
Paraphrase what has been said to ensure understanding
(See Toolkits 1 and 2 for more information)

NB. When reading and using the Toolkits, remember this communication process and these strategies for preventing/dealing with message distortion.

[39] See Networking for policy change – an advocacy training manual. Section 2. The Policy Project, 1999.

STRATEGIES TO IMPROVE COMMUNICATION

Sender

Receiver

Beliefs,
Knowledge,
Attitudes

MESSAGE

Beliefs,
Knowledge,
Attitudes

Message Sent

Message Received

Distorting Factors Sender

- Word Choice
- Tone of voice
- Personal feelings towards receiver, message
- Physical state
- Choice of environment, time

Strategies to Overcome Distorting Factors

- Feedback techniques such as open questions
- Multiple channels
- Repetition
- Face-to-face interaction
- Simple language
- Limited information
- Paraphrase

Distorting Factors Receiver

- Level of interest
- Interpretation
- Personal feelings toward sender, message
- Physical state
- Demands on receiver's time

Adapted from Networking for Policy Change – an advocacy training manual. Section 2. The Policy Project, 1999.

Comparative Value

The table below outlines possible comparative value between the methods of influencing people through one-to-one meetings, large group discussions or the mass media.

Summary of Comparative Value of Individual, Group and Mass Media Channels[40]

Characteristic	Individual Channels	Group Channels	Mass media channels
Message flow	Tends to be 2-way	Varies: 2-way in discussions;1-way in presentation	Tends to be 1-way
Communication context	Face to face	Face to face	Interposed
Amount of feedback readily available	High	Medium	Low
Ability to overcome selective processes (selective exposure)	High	Medium	Low
Speed to large audiences	Relatively slow	Medium	Relatively rapid
Possibility to adjust message to audience	Large	Medium	Small
Cost per person reached	High	Medium	Low
Possibility for audience to ignore	Low	Medium	High
Same message to all receivers	No	Depends	Yes
Who gives information	Everybody	Depends	Experts or power holders
Possible effect	Attitude formation and change	Depends	Knowledge change

[40] Adapted from Agricultural Extension second edition A W van den Ban and H S Hawkins. 1996

Session 7.2

Key Considerations for each of the Three Influencing Levels

Introduction to Influencing
We have established earlier in the course that to be advocates, researchers need influencing skills. These can be broadly summarised as the ability to:

- deliver (possibly even market) an effective message in an appropriate manner in a variety of settings to a variety of audiences
- have cultural awareness of self and others
- have awareness of verbal AND non-verbal communication
- foster networks
- articulate issues in ways that inspire and motivate others to take action
- seek and win modest but strategic policy gains while creating more opportunity for larger victories
- be creative
- have humour
- respond rapidly and seize opportunities
- build good relationships with people (social and interpersonal skills)

Question: When do we choose to influence through which level (or combination of levels)?

7.2.1 When and Why would you Choose to Have a Face-to-Face Meeting?

Think of the advantages of individual lobbying. This can include taking a key stakeholder to one side (at a function, meeting) so as to avoid senior/junior dynamics and influences other than yourself. Think of getting the message, time and place right so as to better influence and convince key change agents. Examples of individual face to face meetings include meeting important and influential people such as ministers, donors, local authority figures; meetings with stakeholders (possibly through interpreters if in a different language).

Types of Individual Influencing (see Toolkit cards 1, 2, 3, 4, 5, and 6)
There are two broad types of individual influencing. Face–to-face meetings are explored in depth in Toolkit Card 3. Influencing by phone, and to a lesser extent email are be explored in Toolkit Cards 4 and 5.

Face-to-face meetings can be organised in advance or unplanned. For organised meetings there is a clear step-by-step procedure you can follow: plan, delivery and follow up (see Toolkit Card 3). Unplanned meetings are those that can happen at any time, unforeseen chance encounters, for which you cannot prepare in advance but for which you can build your skills over time so as to always be able to deliver a message about your research outputs, no matter where or when, or to whom (Toolkit Cards 1 and 2).

7.2.2 When and Why is it Best to Deliver a Message in a Group Setting?

(see Toolkit cards 1,2,6,8,9,10,11)

You need to consider in which cases a group setting will be a more effective forum for presentation and discussion of research findings. Think of group behaviour and dynamics; as a forum for sharing and cross-learning; the dynamic process of group situations; individual and hierarchical tensions may be diffused more in a larger group. However, although there is less individual targeting there may be more potential for conflict, and the expression (non-verbal) inhibitions and restrictions due to hierarchical structures present.

7.2.3 When and Why would you Choose Different Mass Media?

What are the key strategy skills ands tools for mass media? The following sections provide an overview of different types of mass media and their relative potential for dissemination use.

Video (see Toolkit cards 1, 12, 14, 16)

Video has typically been used to educate, and to spread messages resulting from research findings. Video can be in a documentary or drama style. A lot of success has been made using drama in videos to successfully portray the results of agriculture, livestock and forestry research. Video has been used extensively to disseminate research findings. The production costs are relatively cheap these days. Distribution can be by video or increasingly on Compact Disks. Videos are often used in training institutes, and for extension programmes.

However, as with television, the pace is inflexible and often too fast for interpretation or assimilation of technical information. Some project videos are more like PR than effective promotion. It is essential for the video to be designed with a user audience in mind. If this is done, and the video used properly within a training and information programme a video can make an effective contribution to research uptake.

" A video designed for end user dissemination would be very different from one intended to encourage intermediate users to incorporate the research output into their own programme or activities – or to convince funders of research that their money has been well spent."[41]

Some of the advantages of video are:

- Video can overcome literacy problems.
- People are used to moving images, and video is a result seen as less of an external media
- Video can be localised to show the results in a local environment, which can make them very realistic for an audience.
- Video can be used along side other media such as drama.
- Video is a relatively cheap way to disseminate using the latest technologies.
- "Seeing is believing"

[41] Dissemination pathways for RNR research. Chris Garforth. Series: Socio-economic methodologies best practice guidelines. University of Reading. NRI-DFID. 1998

Television (see Toolkit Cards 1, 12, 14, 16)
In most developing countries television is a widely available and powerful medium. Many countries have specific agricultural TV programmes. These have large audiences. It is effective as a visual medium and can convey complex ideas in comprehensible formats. Some of the viewers in both rural and urban areas may be decision makers within intermediate user agencies, and individuals with influence over family small holdings in agricultural and forest areas.

Identify which TV programmes are produced that might show the results of your research. These might be specific programmes aimed at a rural audience, or programmes aimed at specific scientific audiences. In some countries you might need to contribute towards the cost of filming.

Radio (see Toolkit Cards 1, 12, 14, 16)
Radio reaches a wider audience than any other medium. It is estimated that there are 94 radios per thousand people in the least developed countries, ten times the number of televisions. The main disadvantage of radio is the lack of visual representation – however this can be an advantage in that unfamiliar natural resource management practices are not visible (and cannot therefore trigger preconceptions). Radio can motivate people and build on oral traditions and stimulate the imagination better than video or television. Radio programmes are cheap to make compared to television and video. Radio receivers are widely available, comparatively cheap and portable, making them convenient for people who are isolated by language, geography, conflict, illiteracy and poverty.

Consider making radio central to your dissemination program; it is an extremely cost-effective way to reach large numbers of people. It is very effective where you need to disseminate results to a rural population and is also very effective where extension workers are scarce. Radio is most effective when content and treatment are based on audience research, when the format is interactive, and when local/vernacular languages are used.

Press (see Toolkit Cards 1, 13, 15, 12, 16)
The Press is an obvious way for us to disseminate research results. This consists of scientific magazines, trade magazines and newspapers and other forms of mass-produced print communication. Submission is normally achieved through the submission of articles or press releases. “Letters to the Editor” of influential newspapers are also often very effective. These sections are known to be well-read by policy makers. As scientists you are well used to submitting to professional publications but do not forget the significance of other press to reaching certain stakeholders. This might include key decision makers, rural audiences, forestry workers and so on.

Exhibitions
Exhibition and events can be used to disseminate research results. You might wish to organise a special event just for dissemination of your project findings. Stakeholders who have been involved in the research can have their own stand. This method is very good for projects where you have contracted research to a number of organisations and each needs to disseminate their findings.

Internet
The internet is a very easy way to disseminate results. Establishing a website and finding your own domain name are not costly activities. Increasingly the internet is the primary source of information for research dissemination. Research findings can

be converted to a PDF file and made available for download. Be aware that there are still many that do not have access to downloading PDF files world-wide. Your website can have a hotline which is frequently updated (e.g. monthly) which has a 'taster' paragraph with a catchy title and pictures on different issues related to your project research and a related link (e.g. 'read the story'). The paragraph needs to be concise and needs to trigger interest. When viewers click on the link they are taken to a different page which details the project, how the research is developing, how findings are being promoted and taken up (e.g. photo or text of influential person attending project workshop). A good example of this can be found at http://www.irri.cgiar.org/VIS/main.htm For a different webpage layout see example Part 3.4.5).

Using Small Media

Small media does not refer to the size of the item, but the size of the potential audience. It includes pamphlets, brochures, outdoor or transit advertising, posters, point of purchase displays that hold copies, brooches or pins, stamps, printed novelty items and other similar small media.

As part of your dissemination process, consider which small media items you will use. You may wish to produce some novelty items such as pens, magnets, mugs, calendars that can be displayed in appropriate places.

Small media also includes newsletters, bulletins and notice boards, all of which can be used to display results.

Visuals

Many of these media include a visual representation or picture. Do not underestimate the value of having clear pictures/photographs to generate interest, to exemplify points made, and to add variety. Remember that a picture tells a whole story, and that people remember pictures more than words. However, remember this tip: *all visuals need to be designed after a careful analysis of i) the audience for which they are intended, ii) the context in which they will be seen and iii) the objective which the visual is intended to achieve.*

Public Relations – a Term we Might Need to be Aware of

A term or process that we might have to use is "public relations". This can be defined as the management of communication between the research project and stakeholders in the widest sense. Good PR has to be well conceived, thoroughly planned and properly organised. It does not just happen, nor is it the result of mere instinct. PR has been described as the management of communication, an art and social science and the process of influencing opinion and behaviour.

Social Marketing

Social Marketing is an approach to communications, which utilises socio-psychological research to design programmes, materials and messages with the maximum persuasive effect. Social Marketing recognises the need to change attitudes as a precursor to behavioural change and, as a result, communications activities attempt to alter peoples' motivations as well as provide information.

The context of Social Marketing messages is highly selective, the sender has formulated a "desired pattern of behaviour" which should be carried out by the receiver, and the message is tailored to bring about that pattern of behaviour. The sender may demand certain information from the receiver but there is no room for discussion regarding the sender's objectives. This is in contrast to educational

communication where the intention is to provide knowledge free from pressure to use it in a particular way. Social Marketing is the extension of commercial advertising practices into the realms of economic and social development. Ideas are *marketed.*

Researchers need to be aware that the marketing of research findings is part of influencing and advocating uptake. You want to use techniques of persuasion and salesmanship (see Annex I, section 4) and manipulate your message so as to have the maximum impact. The way in which you deliver your message, and the channels you use for this, depend on the reaction and behaviour you ultimately want your target audience to adopt/change.

7.2.4 Non-Verbal Communication and Cultural Differences

Think of the importance of non-verbal communication (body language/ tone/ attitude/ appearance, etc.) for each level of influencing. i.e. what do you need to be aware of in face to face meetings (be they individual, or presenting to a group)? What non-verbal communication do you need to be aware of for radio broadcasts (voice, tone, language, expressions) and additionally for TV interviews (appearance, body posture…)? What is lost/ gained respectively on radio/TV?

Consider issues of how you may be 'perceived' as a researcher (or other) by the different audiences; and what you can do to 'tailor' this perception. How do you 'project' yourself on radio or on TV?

Awareness of non-verbal communication is an essential skill for influencing. Be aware of non-verbal signals so that you can recognise them in others and understand the messages that are being directed to you. This will help ensure that you do not cause offence, but also that you will not take it when confronted with certain behaviour

By non-verbal communication we can include body language, tone of voice, attitude and appearance. We need to remember that when we watch and listen (to someone speaking) we remember very little of the actual words spoken. We remember more through visual experience (i.e. body language, appearance) and through association (tone, body language and attitude of the speaker). However, non-verbal communication is extremely culture-dependent. What may appear a rude gesture in one culture may not be in another. Direct eye contact in western countries is needed to engage the other, but in the Asian sub continent and in south East Asia this would be offensive and rude, especially when talking to a person of seniority or of different gender.

Body language includes the way you hold your body (posture/stance), facial expressions, gestures, and eye contact.

Tone of voice refers to whether you speak, for example, in an aggressive/loud manner; in a condescending tone (looking down at your audience); in a tone which is soft spoken but firm; in a very quiet tone, wavering and lacking in confidence; in passionate/ emotional tone. The tone of your voice needs to match your audience and the situation. When delivering your message, you need to appear confident and at ease, but not superior or condescending.

Attitude is a combination of your words, posture and tone. You can show empathy and seem understanding by nodding, acknowledging what others say, including their views. In the UK, and in other cultures, you can come across as aggressive if you speak loudly and gesticulate a lot. However, this same behaviour in Latin countries, for example Latin America would not be inappropriate. You can seem condescending

if you speak to your audience as if they were children, with simple language, making assumptions about their lack of understanding the issue.

The importance of eye contact is very culturally dependent. Direct and uninterrupted eye contact can mean you are engaging in direct communication and listening actively. In other situations it is interpreted as being rude and disrespectful.

Ask yourself:
? Why do you think someone is lying (on radio/TV)? What are the non-verbal and cultural signals that tell you this?
? Why do some people look/sound more credible than others? What is it that makes you believe/sympathise with them more than others?

Also ask yourself:
? Are you talking to the right person in the local hierarchy? Have you identified who is the influential person? This may not necessarily be the most senior or prominent person.

7.2.5 Pointers on Key Cultural Differences you Need to be Aware of for Effective Communication

Role of the Foreigner:
You need to recognise the role of the 'foreign/non-local' researcher relationships and roles in your particular project context. The people you will be trying to influence (including your local research colleagues) will be making assumptions and have pre-conceptions about you in relation to your gender, age and race, irrespective of your knowledge and experience.

Being a local/foreigner can have advantages and disadvantages. The term 'foreigner' is used here to mean people who are not native or local to the project setting. For example, if you are an African national working in a different African country, you need to be aware of the differences and 'hierarchies' between and within countries in the same continent.

You need to work these advantages and disadvantages out in time and use your position and the position of other team members for maximising research promotion. It may be that a foreign researcher is given more space to talk at meetings; that more people come to listen out of interest. A foreigner may be allowed a greater leeway for cultural 'faux pas,' and your team can learn to use this to your advantage. Exceptions will be made for foreigners so they don't have to adhere strictly to the hierarchical and convoluted etiquette usual in meetings and presentations precisely because it is understood that you are not aware of these. This can allow a foreigner the opportunity to address senior influential people in a more direct way.

On the other hand, foreigners may misinterpret messages/ actions/gestures because they are not aware of the cultural nuances. They may miss key information and opportunities to promote research findings because they do not recognise the influential person; or the importance of a particular seemingly unimportant date/meeting/setting. Equally, foreigners may be "taken in" by assurances and promises which local people know instinctively can not be met.

TASK:
Refer to Part 3.2 and in particular exercise 6 in Part 3.2.5 where you had to identify obstacles and opportunities for your project. Analyse which of these are related to the

promotion of your research. Think of how your project can build on the opportunities offered by specific cultural characteristics. How can you address the culturally-related obstacles to promotion and influencing?

Refer to exercise 22 in Part 5.2. Think of examples when cultural issues in the project environment have impeded your ability to influence policy, and have therefore hindered your promotion strategy. What can you do to be more aware of these issues and work within the existing parameters? Use the information in Annex I to help you think how to address these difficulties.

Recognising Cultural Differences

By being informed we are less likely to make obvious mistakes with regard to cultural differences. When presenting we will need to assess language differences and whether we use interpreters, for example.

We have established earlier in this workbook that in the process of disseminating research you may have to influence individuals and groups from different cultures. While recognising common goals and approaches between cultures, it is important that these differences are not over-looked. Norms of perception, protocol and social behaviour must be appreciated and respected. Differences can be especially apparent when negotiating with individuals, or in face-to-face situations, and should not be allowed to adversely affect the process.

Both you and the second party may hold certain preconceptions about the nature of each other's culture. It is important to remember that while accepting cultural differences, these preconceptions can affect the successful outcome of a meeting to the same degree as not recognising cultural differences at all.

Make sure that you are properly *informed**;*** read available literature, learn from your colleagues, talk to local people.

The following are particular areas to be given special consideration.

1. **Dress Code**: 'Formal' attire differs in different cultural contexts and may or may not be local dress. Being aware of this can be important when establishing a good first impression.
2. **Diversity**: Be aware of particular local cultural practices/ perceptions.
   Here are some examples from a range of counties:
   - Introducing yourself to someone while wearing sunglasses in Cambodia is seen as rude.
   - Physical male-female contact in public in parts of South Asia is unacceptable, while male-male contact is not. (important when greeting, for example shaking hands)
   - Showing the soles of your feet in Thailand or indicating things with them is seen as rude.
   - Simple greetings in India vary; such as *Namaste* when addressing Hindus and *Salaam Aleikum* when addressing Muslims.
   - Touching the heads of individuals or passing items over people's heads is considered offensive in Islamic societies.
   - Being late for meetings is considered rude by Westerners

Try to be aware of issues such as these when engaging in dialogue with someone you wish to influence positively. You do not wish to appear rude or disrespectful.

3. **World-View**: There may be differing cultural emphases on collectivism/ individualism; profit-making/ sharing; meritocratic-/ class-/ caste-based systems of social mobility, along with religion, political orientation, history and opinion. These are important factors to consider when showing your research findings with individuals. Do not alienate your listener by assuming that you think about things in the same way. For example, communities as a whole may benefit from changes governing the use of natural resources, but in caste-based societies, there will be particular strata which will feel the effects most strongly.

4. **Gender Relations** vary, and will be more relevant in some cultures than others. Be aware of formal/public/informal relationships between genders. The likelihood is that you will become aware of these relationships simply by working in the research context during the project lifetime, and dealing with different stakeholders on a continuous basis. Behaviour adopted in informal circumstances between male and female colleagues may not be appropriate in a formal setting. Be aware that people may have certain expectations of your role as male or female, and your 'performance' may affect the impact of your argument.

5. Consider **age and seniority**; some cultures will have very particular ways of showing respect to different age groups, or respecting seniority in a professional field. For example, the prefix before a name may be dependent on the age and seniority of the individual. In Nepal, for men, *sahib* may be used when addressing a senior 'foreign' colleague; *hajur* when addressing a senior Nepali colleague; and *ji* when addressing a colleague of similar status.

6. States may have many **ethnic and/or religious** groups, whose internal cultural practices differ widely. Do not assume cultural homogeneity. For example, in Nigeria the North of the country, being predominantly Muslim, is influenced heavily by Islamic, Sharia, law or in some states governed by it. Although women do not *have* to cover their heads or shoulders, they may find they receive unwelcome attention if they do not. The south, in contrast, is predominantly Christian, and dress codes are more relaxed.

While you will never be able to avoid all cultural faux pas, and may not be able to adopt certain opinions or perceptions, showing that you are aware of how they differ from your own, and that you have taken steps to avoid offence will help establish a good working relationship. Within any culture there are variations in behaviour that will depend upon the individual. Compensate by thinking about personal signals, and what you are doing to encourage positive feedback from who you are talking to.

- Smile
- Nod
- Ask open questions
- Avoid interruption
- Ask for opinion, and/ or expansion of ideas
- Show you are concentrating

7. **Language** The person you are engaging in conversation may not have the same first language as you, and using impenetrable, professional jargon may serve to further alienate the listener. Consider using an interpreter, or tailor your approach/use of language to suit the individual. Try not to appear over-bearing or heavy-handed when imparting the information you have – understand that the listener may have very different ideas to you, and it is important not to see the situation as you simply having knowledge that the other does not. Avoid the temptation to 'prove' your superiority by demonstrating expertise.

8. In disseminating research findings, it is important to consider the **history** of similar projects in the area. For example, if communicating research on hydro-electric power in India, investigate the history of similar projects in the region involving dams and/ or resettlement. Personal experience can influence how receptive the individual might be to your proposal and a good understanding of the wider picture will help allay some concerns immediately, speeding up the decision-making process. You might demonstrate an understanding of the social context in which your recommendations may be implemented, as these will be important considerations for many of the people you will talk to.

9. Consider the location for any meeting. Is it better to hold a meeting in a formal setting of an office, or does the situation allows for a more relaxed engagement? A meeting may not be carried out in the manner you are expecting. For example, there may be other observers, or a period of informal discussion preceding the articles on the agenda.

   Meetings in South East Asia, especially with any kind of authority figures, consist of innumerable introductory speeches, which are purely a formality and not essential in terms of content. However, they have to be made and listened to in full before the actual nitty-gritty of a meeting can be addressed (and even then this is likely to be in an indirect, convoluted fashion). It will be mainly the authority people who get a chance to speak, usually in order of importance.

   Conversely, in Latin American cultures it is the norm for more open and verbal discussions, in which everyone gets to have their say. The nature is more one of open-floor debate, which may continue interminably, so as to ensure that everyone gets their say (even though what they have to say may be irrelevant/ unimportant).

Session 7.3

Who are your Research Results For?

To ensure that your research findings are effectively promoted, you need to know which types of audiences you are targeting your promotion at. You need to analyse these audiences and define them before you can develop a promotion strategy. You will need to revisit this analysis during the project lifetime as audiences change, as does the political and cultural environment in which you are operating.

How can you better define your audience?
Research your audience; use Knowledge, Attitude, Practice (KAP) surveys

Broadly speaking you will have two possible types of audiences:

i) Key change agents (those individuals identified in project promotion strategy matrix as essential for the promotion of project research results). Some of these are <u>direct policy shapers.</u>

Possibly:

Minister	Local government official	Donor
Other researcher	Local chief	Farmer
Extension agent	Journalist	other…?
Your project leader/colleagues/staff		

ii) End users of the research results (clients). Some of these are <u>indirect policy shapers.</u>

Possibly:

The wider public	local communities	Farmers
Other researchers	specific community groups	other..?
Extension agents		

Considerations to think about for each target audience in each case:

- culture, gender, age, ethnicity, political inclination
- what is their stake in project message
- how relevant is the message to the audience (Annex I, section A.1 If message is of direct relevance to audience they will listen to arguments, if message is of indirect relevance audience will focus on peripheral factors)
- what are the main communication and knowledge-transfer channels used
- what are the audience's constraints (see part V constraints for policy makers)
- What are their attitudes to the topic
- How familiar are they with the topic
- What ratio of 'main message' to 'background information' will be most helpful:
- What barriers or problems in communication might occur
- What is the source credibility and the reliability and relevance of the message (see part 6.2 researcher credibility)

Session 7.4

Activities to Practise Skills

These three sets of possible exercises (one for each category) are designed to help you practise the different methods and skills. Make sure you have the set of Toolkit Cards ready to hand for reference while you do these exercises.

INDIVIDUAL INFLUENCING

Practice 1: Face-to-Face Meetings
(Toolkit Cards 1,2,3)

Aim: to practise the skills needed for a successful face-to-face meeting
Skills practised: *ability to plan + deliver a clear message about research findings, ability to use supporting material at the right time, ability to engage listener, create rapport, enlist commitment, listen.*

Time: 45-60 minutes

Task: In groups of three, project based, you will carry out three roleplays in which, at different times, each of you gets to practise being a) yourself, b) a potential stakeholder/ change agent in your project, c) an observer. Roleplays should last 5-10 minutes. Trainers may be used for role (b). If you agree, video may be used as a learning tool (watch playback and see how you performed in your real researcher role; not just the message but also body language, etc).

In your group of three, decide who you will be in each of the three roleplays. In one you will be yourself. Think of your message; the aim of your meeting; what you will need to have with you; do you expect/require any actions/commitments from the stakeholder? In the next you will roleplay a project stakeholder whom you are likely to have face-to-face meetings with in reality (for example a government minister, a donor). In the last roleplay you will observe your two colleagues. As an observer, take notes, watch and listen. You can then provide constructive feedback to your two colleagues.

Try to act the roleplay as realistically as possible (walking into an office, taking out supporting material and showing it, shaking hands or other gestures). Include realistic noises, interruptions and other constraints. When you have acted all three roleplays, discuss the main learning points. Refer back to the relevant Toolkit Cards.

Practice 2: The One-Minute Message
(Toolkit Card 1)

Aim: to improve the delivery of your research related one–minute message
Skills practised: *ability to deliver concise, meaningful, to the point message about research outputs to a variety of audiences, focusing/targeting the message to each audience, without preparation, at any time*

Time: 30 minutes

Task: In your project groups, consider your project objective. Compose 2-3 one-minute messages for your project. The message needs to have 4 components:

Statements + Evidence + Example + Action desired

Use one, maximum two sentences per component. Ensure you include all four components. You have only ONE MINUTE to deliver your message. Ensure that you compose messages for a variety of listeners (for example: chance encounter with donor, local chief, local client user such as farmer or female market trader, journalist, someone who has influence over a key change agent, the wider public). Your message will consist of similar points but it needs to be targeted and understood by the different audiences in different scenarios.

Practise delivering your messages in your project group. When you are ready, decide who will deliver the messages and deliver the different messages, in turn, to the whole group. Ensure each group member gets a chance to deliver a message, since any member of your project team may need to deliver such a message in real life.

Optional: By listening to your message, the whole group has to guess who your planned audience is.

GROUP INFLUENCING

Practice 1: Giving Presentations

(Toolkit Cards 1,2,8,9)

Aim: improving your presentation delivery skills

Skills practised: *ability to plan and deliver a focused presentation, management of environment and audience, engaging the listeners, use of supporting material, management of question and answer session, dealing with difficult audience members and questions*

Time: 45-60 minutes

Task: You will practise delivering presentations by project groups to a mixed audience. Each group presentation is to have a different focus/angle (e.g. focus on successes, weaknesses, stakeholder engagement, historical perspective, future collaboration). You will be offered a choice of focus/angle. The group selects one and this needs to be agreed by trainers (so as to ensure no repetition and a sufficiently diverse set of presentations). In project groups, prepare a five to ten-minute presentation on a project-related issue of your choice.
Each group should decide which member of the group will make the presentation.
You can decide whether you will deliver a formal, frontal presentation or a more interactive discussion presentation.
You need to prepare for the post-presentation debate which follows the presentation. This will include questions from trainers and participants playing particular roles (role cards may be supplied for this).

Presentations often include:
- a clear message with two to three key points each
- use of visual aids

• clear instructions to the audience on when to ask questions.

Each group delivers their presentations to the whole group. The trainers will elicit feedback on each, based on the following kinds of questions:
? How clear were the messages?
? How persuasive were the arguments?
? How useful and clear were the visual aids?
? How clear and useful were the answers to the questions?
? What could be improved?

Discuss (in plenary or groups) which presentations worked best, and what made them more successful than others.

Optional: participants discuss their experiences of delivering presentations, especially as part of advocacy and influencing to promote their research findings.

Practice 2: Facilitating a Discussion
(Toolkit Cards 2, 10)

Aim: practise facilitating a group discussion

Skills practised: *a range of facilitation skills, negotiation, listening, building rapport*

Time: 45-60 minutes

Task: Divide into two random groups of ten participants each. In group A, decide on 1-2 people to act as the facilitators; the rest are participants. Agree on a realistic project-related group discussion setting (for example, introductory or final workshop with stakeholders; discussion with colleagues from other institutions). You will roleplay a group discussion, monitored by the trainers. Trainers will provide role cards for the facilitators (listing a number of tasks facilitators have to do) and role cards for participants (include different personalities, needs and expectations). The remaining 10 participants in group B observe the roleplay of group A and then feedback on: facilitation skills and group dynamics.

Influencing through the mass media

Practice 1: Writing a Press Release
(Toolkit Cards 1,12,13)

Aim: to practise writing a press release
Skills practised: *writing succinctly and persuasively to generate interest, complete message in first sentence, logical expansion of arguments re 5 key questions, analysis of others' release*

Time: 60 minutes

Task: In project groups, you will practice writing a relevant press release. Decide the reason for the press release (for example, to announce findings or an important forthcoming meeting) and the general gist of the press release.
Write the headline and the first sentence. Next, write the remainder of the press release

Explaining in detail Who, What, Where, When and Why. Each group then discusses the kind of journalists/ media the press release would be sent to. Two different project groups then pair up; each group analyses the other group's press release to see whether it is interesting and answers all five 'W's'. Each group to provide constructive feedback and suggestions for improvement to the other group. In plenary: discuss participants' past experiences in writing and using press releases.

Practice 2: Carrying Out Media Interviews
(Toolkit Cards 1,2,12,14)

Optional pre-task: watch the TV interviews provided by the trainers and discuss the key points.

Aim: practise carrying out a TV/radio interview

Skills practised: *preparing for a broadcast interview; range of skills for managing a broadcast interview: listening, responding to questions, repetition of message, providing interesting and persuasive information, non-verbal communication and behaviour*

Time: 45 minutes

Task: In project groups (preferably groups of three) agree topic and objective of interview, whether on radio or TV, and potential audience. The following roles are needed within each group: a) the researcher being interviewed, b) the interviewing journalist, c) observers. The researchers prepare for the interview, planning responses to possible questions, and preparing arguments/ points they want to make. The journalists develop a series of questions for the interview. (Trainers may take on the role of the interviewing journalist). The observers support the other two, and familiarise themselves with tape recorder/video camera. The pairs of researcher-journalist practise doing interviews. Pay attention to: delivering key messages, answering questions clearly, appearance and non-verbal communication.
The trainers may decide to allocate specific cultural settings for the roleplays to ensure cultural representation and variety.

The interviews are either taped or filmed (with their consent) by the observer (or trainer). The use of video/tape recorder is for educational purposes and learning. Play back the roleplays either in same project groups or to wider group: analyse and provide constructive feedback. Discussion on key differences for communicating on radio v. TV
Make sure you provide positive feedback (remember sandwich feedback!)

Session 7.5

Additional Exercises

These exercises are extra exercises to practise the skills of influencing individuals, groups and the masses. Trainers may ask you to work on these as self study or as preparation for the practical skills day.

1. Pathways of Influence

Aim: to help you think in detail about different ways of influencing your project can get involved in

Time: 45 minutes, in your project group

Task: Refer to part VI Advocacy section, 'Pathways of influence' diagram at the end of section 6.1. You may have already worked on this diagram as part of the course. The purpose of this exercise is to enable you to think even more in depth. Look at each pathway of influence suggested in the shaded boxes and for each one, provide detail on how exactly your project can carry this out. Think of how, who will be involved, in what way, the time frame, and the materials/resources you will need. You may want to add further boxes which particularly suit your project.

2. Body Language Awareness for Giving Presentations

Aim: to make you more aware of your body language so as to better perform in presentations

Time: 30 minutes, in pairs.

Task: In pairs. Read the following text, then alternate practising giving a 5-minute presentation to an imaginary audience. Try and remember the points made below. Your partner observes you delivering the presentation and then feeds back on your body language.

"The best way to eliminate negative body language is to be aware of what we do. We should try to be conscious at all times of using positive body language. It helps to practice body language. For example, practice your stance. Stand with your feet less than a shoulder width apart. Don't lean into the audience, but don't turn your body away either. Use an open posture. Stand upright and not slouched. Keep your shoulders back but keep them relaxed. Don't fold your arms across your body, or put your hands across your face. Never put your hands in your pockets. Make positive eye contact. Keep regular eye contact with the audience, but don't stare at any one individual. Practice smiling and using friendly expressions. Get a happy medium – you don't want to scowl or look too serious, but you don't want to look inane either. Use open gestures. Hand gestures should be made with up-turned open palms. Make sure your gestures, movements or facial expressions are natural. Nerves can make us exaggerate our body language, which creates the wrong effect. If you can, take the opportunity to see yourself perform on video. This is a useful way of getting a critical look at the body language you are using and practice improvements. Alternatively, practice in front of a mirror or in front of a trusted friend."

3. Common Mistakes Made During Presentations

Aim: To identify common mistakes in delivering presentations and know how to avoid them

Time: 45 minutes, in pairs or small random groups

Task: Brainstorm the various mistakes you have seen people make during a presentation. Make a note of key mistakes (for example, forgetting to turn on the microphone, fidgeting, slides in the wrong order, speaking too quickly, etc.) either on paper or on a flipchart. Try and think of mistakes you have made (if any!)

Share these in plenary (or larger groups) and have a discussion around how to avoid each mistake. Compose a list of practical solutions to the identified mistakes. This can be copied for participants for reference.

Toolkit Cards

The toolkit cards explain different communication methods, when to use them, and their specific strengths and weaknesses. They also outline the skills needed to carry out these methods successfully. Most of these cards are useful in more than one communication setting (multiple use).

Toolkit cards included in workbook:

1. Effective messages
2. Building rapport
3. Planned face-to-face meetings
4. One-to-one communication via telephone
5. One-to-one communication via email
6. Negotiating
7. Preparing a policy brief
8. Preparing and delivering a presentation
9. Conducting the post presentation debate
10. Participatory facilitation
11. Managing your audience and your environment
12. Working with the media – introduction
13. Writing and using a press release
14. Carrying out a media interview
15. Preparing a press conference
16. Preparing and using scripts

Part VIII

Presenting Your Promotion Strategy

8.1 Personal Action Plans for Improved Research promotion

Session 8.1

Finalising your Promotion Strategy

SESSION OBJECTIVES: ***At the end of this session you will have:***

1. Finalised your promotion strategy, to include information on main research findings, key stakeholders, uptake pathways and key dissemination, promotion and advocacy initiatives to facilitate uptake.

8.1.1 What should your Promotion Strategy look like?

There is no right format for a promotion strategy. What is important is that it includes the key components explored earlier in the workbook. These are:

1. Your key **research findings** (identified in Part I and confirmed in Part III of the workbook) of developmental value.
2. Your **stakeholders** (identified in Part IV); remember that stakeholders include not only final beneficiaries but also organisations and individuals through which ideas are channelled or who themselves add value to the findings. Stakeholders may also be individuals and organisations who hold a negative "stake" in your research project and results. Either way a management plan for each needs to be considered.
3. The **uptake pathways** by which your findings reach your stakeholders. These were discussed in Part V of the workbook. Note that uptake is not just about your efforts to disseminate and promote your findings but also depends on your understanding how each stakeholder sources information.
4. Your **role** in facilitating research uptake is critical. There may be several stages to this facilitation and the skills required may be very varied. We have explored some of these skills in Part VII and through the use of Toolkit cards. We have also emphasised that your role will involve more than dissemination of research results. It will also require promotion and advocacy to ensure maximum impact.

The combination of these components makes up your Promotion Strategy, which is designed to realise the development value of your research. In Part II of the workbook, we suggested that you could present the strategy as a matrix. We used the example below to demonstrate how the matrix might "capture" the key components of your strategy as detailed above.

A Promotion Strategy Matrix

	Stakeholders (Beneficiaries, Channels, Value-adders, Opponents?)				
Research Output	Minister (Policy Maker)	Research Group (Partner)	Village Leader (Influencer)	Extension Agent (Service (Provider)	NGO (Partner)
Finding 1			Joint Training(channel to farmers)		
Finding 2			Demonstration		
Finding 3		Research paper			
Finding 4	Policy brief (policy makers convinced of need to act)	Joint Workshop			

The Strategy is stakeholder led, focused on getting the right messages to the right people, to secure the right action for development. The "cells" of the matrix describe how you should package your findings in order to ensure uptake.

8.1.2 Utilising the Step by Step Approach

In Part II we set out a step by step approach to the development of your strategy. Use this approach now to ensure that you have all the key information you require.

Step 1: Consider the **key findings** of your research which you believe you would like to promote. *Note that **findings** of one or more projects may include existing knowledge as well as new knowledge, and be formulated into a policy or strategy or technology, etc. relevant to the needs of a specified group of end users and in a form accessible to them.* Remember that by definition your research is research *for* development and so all findings should have developmental value.

Step 2: Identify your **stakeholders** using the broad headings:
- End Users or Beneficiaries (using findings)
- Channels (passing findings on)
- Intermediaries (adding value)
- Opponents (resisting findings)

Step 3: Consider the methods you wish to use to promote these findings. These represent your **uptake pathways**.

Step 4: The completed table is a **Promotion Strategy** Matrix linking findings with stakeholders through clear strategic actions supporting appropriate uptake pathways.

8.1.3 Presenting your Strategy

You can present your Promotion Strategy using any method you choose. You may find the matrix and appropriate tool to work with or you may prefer a different method. On previous courses, participants have presented their strategy using multiple matrices; others have used powerpoint presentations showing the stages of dissemination and promotion for each key finding; yet others have developed colourful graphics to describe the relationship between stakeholders, the actions required of each and the project team's role in facilitating this action.

Exercise 38:

In your project teams, finalise your promotion strategy and prepare a presentation that describes your strategy and the action plan associated with it. You will need to refer to the section 8.2 to understand what is involved in action planning.

Session 8.2

Action Plans for Improved Performance

SESSION OBJECTIVES: ***At the end of this session you will have:***

1. Produced an Action Plan to support the implementation of your Promotion Strategy

8.2.1 What is Action Planning?

Action Planning is an activity designed to assist you to achieve your goals by recognising the tasks that need to be completed to reach your desired outcomes, and then structuring those tasks within a given framework. Within the context of this training course, action planning should be seen as the first step in the implementation of your Promotion Strategy. It will be impossible to do everything all at once. Your action plan will demonstrate your intentions in terms of sequence and timing.

8.2.2 Methodology

There is no single correct way to write individual action plans. The method of planning that you choose needs to be compatible with your personality and the context within which you work. What is critical, however, is that you do have some blueprint that gives direction and focus to your activities. There is truth in the saying "if you fail to plan, you plan to fail".

One possible process for Action Planning is set out below:

- Generate all the **major actions** that need to be done. You may wish to "layer" these from higher to lower organisational levels.
- Identify any serious **minor actions**, including the "sons and daughters" of the major actions, and any **links** that need to be added in.
- Sequence the major actions. What might proceed in tandem?
- Insert the minor actions.
- Devise sensible and realistic **time-scales** for ongoing review, with **milestones** *en route* and a date for final completion.
- Identify **owners** of each **action**, seeking equality of effort wherever possible.

Specificity is the key to a good action plan. It should say **who** will do **what** and **by when**.

Summary

- Start with major actions, then minor
- Add time-scales
- Seek named owners for each action.

However, developing an action plan does not mean that plans won't change. Plans need to be sufficiently flexible to allow for changes and modifications arising from evolving circumstances and unforeseen events. This implies that plans are never static and should be monitored, assessed and revised as required.

What should I include?

Your action plan might include:

- your objectives
- what needs to be done

- by when
- by whom
- areas affected by your action plan (people, structure, rules, technology, systems, power)
- key steps or action that you will take to start the change process required to achieve your action plan objective
- your timetable for achieving these changes

8.2.3 Developing Action Plans

Your action plan for the implementation of your Promotion Strategy should identify the activities and impact targets or indicators associated with each finding and uptake pathway. An example is presented below. This table demonstrates how researchers must consider the specific change(s) they wish to bring about through their uptake initiative and identify appropriate indicators of achievement as a means of measuring this change. Note also in the accompanying activity list that researchers must see their role extending beyond facilitation of change to ensure implementation. Researchers need to become more familiar with culturally appropriate ways to drive change beyond the "good idea in principle" stage to actual implementation. This follow-through process will be specific to the level of society with which the researcher is engaged.

Research Finding/Output: A New Technology for Adding Value to a Forest Product *(this item is taken from column 1 of a Promotion Strategy Matrix)*		
Uptake Pathway and Objectives	**Indicators of Achievement**	
Joint Training Programme for Extension workers and NGOs (Value Adders and Channels) to encourage a standardised approach and collaborative effort *(this item is taken from one of the cells of the Promotion Strategy Matrix)*	1. Joint programme of work agreed between NGO and extension agency with clearly allocated roles and responsibilities. 2. Stakeholder monitoring programme established: indicators should be project specific and relate to impact on forestry practice.	
Uptake Pathway Activities	Responsibility	Deadline
1. Consultation with Extension Service		
3. Consultation with NGO		
4. Draft Training Programme Developed		
4. Organise Venue for Training and Administrative Support		
5. Identify Training outcomes in terms of knowledge and skills transfer and commitment to action		
6. Facilitate training in a way that creates space for joint planning between Extension Service and NGOs roles/responsibilities		
7 Agree milestones and indicators of achievement and report back processes during training		
8 Monitor implementation of agreement and learn lessons		

9 Devise appropriate follow-up to ensure implementation of joint plans		

Exercise 39:
What other Uptake Pathways might be appropriate for such a research output? Share your ideas with the group.

8.2.4 Implementing Actions Plans

Planning actions is never sufficient on its own. You also need the skills and commitment to see these plans translate into development action. During the course you will have developed communication and interpersonal skills as well as advocacy and influencing techniques.

By taking part in practical sessions, it has been intended that you become more alert to the difficulties associated with any attempt to implement change. Skills of persuasion and handling difficult situations and people are required so that you can handle challenging situations confidently and manage other people's concerns/feelings and agendas – and not just your own – in such a way that the desired action response you are looking for is still forthcoming. Hopefully, this course has demonstrated that these skills develop as you improve your own insight into individual motivation and response and your understanding of local social custom and culture. However, there is no substitute for experience so be prepared for the development of your skills to take time and to learn from your mistakes.

Finally:
As you develop your action plan, think back to some of the questions that have been raised during the course:

- What kind of development is your research for?
- What kind of actions have to be taken in order to realise this development value?
- What are the ways you as a researcher ensure operational relevance for beneficiaries?
- What are the ways you as a researcher ensure operational relevance for policy makers?
- How important is policy change?
- What counts as credibility in your situation (country/sector)?

- Do participatory methods and local involvement lead to greater policy uptake in your experience?
- How much effort do you as a researcher put into communication and does it make a difference?
- Are there "champions" attempting to bridge the research-policy gap already; how much success have they achieved and why?
- What are the key skills gaps you feel you need to bridge?
- Do you think it appropriate to go beyond dissemination and take on the challenge of promotion?
- Does this mean that "research" is now insufficient as a mechanism for change – and that we should be talking about innovation?
- Is it realistic to involve end users in all stages of your research?
- Are you clear about whom your other stakeholders are?
- Are you clear about what your research outputs will be and should be? Is there a discrepancy?
- Are you clear about the uptake pathways that need to be employed if you are to bring about developmental change?
- Can you bring about developmental change through your research? Does this always mean poverty alleviation?

Exercise 40:

Towards the end of the course you will be listening to other Project Team's Promotion Strategies. Write here the key issues that you believe they should address? Be prepared to appraise each promotion strategy using your new skills and ideas.

Part IX

Monitoring Performance: A Continuous Process

9.1 Definitions

9.2 Why monitor?

9.3 Toolkits

Session 9.1

Definitions

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Describe the differences between monitoring, review, evaluation and impact assessment

9.1.1 Introduction

During the course you have been developing a Promotion Strategy specific to your project. The Promotion Strategy identifies the key research findings, the different project stakeholders (key change agents) – and the relevant uptake pathways needed for you to engage with each of your stakeholders to promote your research findings. Your Action Plan details the steps you will take to implement the Promotion Strategy. This will involve the employment of many of the skills and tools you have developed and learned about during this course.

The purpose of this module is to equip you with the tools needed to monitor the impact of your actions and the degree to which you successfully implement your Promotion Strategy. To do this, we need to first clarify definitions of 'monitoring' and related concepts.

9.1.2 Monitoring

Monitoring is the continuous and systematic assessment of the progress of a project or programme over time. It is at the heart of continuous management information systems that provide trends and point-in-time information, including data about ongoing activities, outcomes and relevant contextual information. By collecting and collating information, and reacting responsibly to this information, monitoring provides the means for constantly improving and modifying a project or programme, and provides the basis for review and revision.

Process monitoring and impact monitoring are both needed. Process monitoring examines information relating to the use of resources, the progress of activities and the way these are carried out.

Impact monitoring provides information on progress towards achieving objectives, and the impact the project/programme is having in relation to these objectives. It should include intended and unintended impact, positive and negative. *The toolkits that follow later in this module focus on monitoring impact of research promotion, this being the primary concern of this training course.*

9.1.3 Review

A review is an assessment at a particular point in time of the progress of a project or programme. Reviews can look at any aspect of a project or programme. They can be extensive or in-depth, formal or informal, and can be carried out internally or externally.

9.1.4 Evaluation

Evaluation is an assessment of the value of development interventions in order to provide information for decision-making and action. An evaluation assesses at one point in time the impact of a project or programme and the extent to which agreed objectives have been achieved. Evaluation is usually scheduled for midway through a project (Mid Term Evaluation) or at the end of the project (Project Completion Evaluation).

9.1.5 Impact Assessment

This type of evaluation is usually undertaken some time after the conclusion of a project or programme to assess the extent to which the benefits of the project have been sustained in the longer term. A popular definition is: "the systematic analysis of the lasting or significant changes – positive or negative, intended or not – in people's lives brought about a given action or series of actions."[42] Impact Assessment needs to take into account all previous monitoring and evaluation, as well as expected impact and any changes in expectation over time.

Learning Points Review:

1. Monitoring is the continuous assessment of a programme over time
2. Monitoring is essential to keep a project on track and to achieve the best possible outcomes.

[42] Chris Roche, p 21, Learning to Value Change: Impact assessment for development NGOs, Oxfam 1999

Session 9.2

Why monitor?

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***
1. Apply indicator analysis to your work
2. Evaluate the relevance of participatory M&E to your work

9.2.1 The Context

The interface between research and development is much more than simply a question of effective dissemination of accurate facts to inform technical policy content. As explained in earlier modules, researchers need to be keenly aware of the complex processes through which knowledge and power interact.

We acknowledge that it will be a challenge to monitor and evaluate the actions that you plan as part of your uptake strategy, precisely because they will take place in the broad domain of policy where many factors interplay, and where it is extremely difficult to attribute change directly to specific actions. Current literature[43] on the research uptake-policy debate points out that researchers and donors alike need to acknowledge the following:

- Project impact (uptake of research outputs) is likely to be ***modest.***
- Research project timeframes are too short to show developmental impact. Patience is key as impact may only become visible after the lifetime of the project. There are implications here for funding of M&E.
- Current short-term approaches (how can a particular project influence a particular policy) overlook the gradual cumulative contribution research projects can make to longer-term policy changes (incremental research impact).

In this module we will concentrate on intermediate and longer term impact levels of evaluation. We will focus on:

Knowledge transfer and skills building (intermediate)
Performance change (intermediate)
Impact on policy development (long term)
Impact on policy implementation (long term)

Having identified the primary stakeholders (end users, intermediaries, channels) for your research promotion, and which uptake pathways and roles you need to adopt to effectively communicate with them and advocate change at their level, you now need to choose methods to track your actions (*intermediate process)* and, more importantly, to monitor the *impact* of your actions. To do this effectively, you need to choose objectively identifiable indicators, as explained below.

[43] New DFID Research Strategy Communication Theme, draft, CIMRC/DFID,2003; National systems of innovation, research and poverty reduction, draft text, A Barnett, 28-8-2003; Understanding participatory research in the context of natural resource management – paradigms, approaches and typologies, ODI-AGREN Network paper 130, 2003

9.2.2 Indicators

Indicators are the basis for measuring that progress is being achieved with regard to the implementation of your Promotion Strategy. You need to decide on a set of indicators that are 'objectively verifiable' (i.e. that more than one observer would come to the same conclusion regarding progress/or not). You will have already considered indicators in your project logical framework at the proposal stage of your project. You may wish to refer to the already agreed indicators for the sections relevant to research promotion. These already agreed indicators are a useful starting point. More detailed ones will have been developed as part of your action plan.

Each indicator requires a 'means of verification' which explains how the needed information will be collected. To identify indicators and means of verification you can ask the following two questions:

- What things would make us feel we are making progress?
- How could we find out if these things are happening?

It is important to consider whether you need *quantitative (tangible)* or *qualitative (intangible)* indicators or both. For example, you may need to know not only how many extension workers have been trained, but also how well they operate. Qualitative indicators are usually harder to identify and choose than the quantitative because qualitative change is difficult to measure and does involve an element of subjectivity.

Tips to help with the identification of indicators:

- It is easier to assess behaviour rather than feelings:
- Ask the question "if you/the project were a complete disaster, how would people know?" (an indicator for failure can also be used to assess success)
- Discuss and ask questions such as "what do you mean by…"

All indicators should:

- be limited in number (minimum not maximum number of indicators)
- be relevant to different people
- reflect different objectives of different people concerned
- reflect the situation of different groups

While process indicators are important in assessing <u>how</u> we are doing things (we identified process indicators when we developed action plans in Part VIII), <u>impact</u> indicators are most significant because they enable us to assess what progress is being made towards reaching our objectives – and the impact the work has had on the different groups of people affected by the work. Impact indicators should demonstrate *changes* in relation to objectives. Remember that impact may be positive or negative and impact indicators can be tangible or intangible. Tangible indicators include empirical changes (such as increased yield, fewer pests, greater variety of species) resulting from uptake of practical research recommendations. Such changes can be linked directly to research outputs (allowing for changes in the external environment). Indicators for measuring impact on behaviour and attitudes can be both tangible (fewer people cutting poles; more people using pole replacement materials) and intangible (different values given by mothers and fathers to girls attending school more regularly as a result of improved access to fuel supplies).

Measuring impact of research outputs on policy development or policy implementation usually requires the development of qualitative indicators. It may also involve tracking changes in areas such as institutional support, strengths of partnerships, and capacity and skill levels of intermediaries and end-users (clients/beneficiaries).

Exercise 41:

Think of your project. Complete the table below to summarise the indicators selected for monitoring the *impact* of the main activities associated with a research finding.

Research Findings	
Uptake Pathway and Objectives:	**Indicators of Achievement/ Impact:**
Uptake Pathway/ Activities:	
i.	
ii.	
iii	
iv	
v	
vi	
viii	
ix	
x	

1. How should these indicators be agreed and with which project stakeholders?
2. Should there be a debate about what 'impact' means to different types of stakeholders?
3. Do you expect these indicators to change during the project lifetime? If so, by whom?
4. Which stakeholders should be responsible for collating the data and analysing it?
5. What should be the agreed mechanisms for circulating/ making available analysis about the impact of the project promotion strategy?

9.2.3 Participatory Monitoring

Participatory approaches have been used in development for the past twenty years, and have been referred to in different ways as new techniques have been developed.

One definition of Participatory approaches is:
"A growing family of approaches and methods to enable local people to share, enhance and analyse their knowledge of life conditions in order to plan and ac."

This definition limits our expectation of the scope of project participation to the involvement of the end user/client/beneficiary. What has become clear through this training course is that to achieve uptake of research, we need to ensure the active participation of not only end users but intermediaries (adding value to our findings) and channels (acting as conducts) for our research.

Evaluation activities often profess to use the methodologies associated with participation, but in reality are extractive rather than participatory. This is partly a question of ownership and purpose.

Levels of participation:

- Participation (active and shared involvement in planning and analysis)
- Consultation (openly asking for input/advice)
- Extraction (taking information or providing strong incentives to meet own purpose)

For evaluation to be conducted in a meaningfully participatory way, inclusive approaches need to be planned from the outset. Participatory monitoring and evaluation (PM&E) differs from more conventional approaches to monitoring and evaluation in that it seeks to engage key project stakeholders more actively in reflecting and assessing the progress of the project and in particular the achievement of results. In contrast, conventional M&E is often judgmental with outsiders determining the state of a project and proposing recommendations from an outsider's perspective. Project stakeholders are most often the objects of M&E rather than the actors within the M&E process. PM&E seeks to involve all key stakeholders in the process of developing a framework for measuring results and reflecting on the project's achievements and proposing solutions based on local realities. Stakeholders (directly or indirectly involved in the project) are involved in selecting indicators to measure change, defining what will be evaluated, who will be involved, when it will take place, the participatory methods for collecting information, analysis to be used and how findings are consolidated. Stakeholders drawn from the project may need to be trained to act as PM&E facilitators. Learning, proposing solutions and acting on them are also an integral part of participation, learning and action.

When you plan a participatory approach, remember that group size matters.

Size	Participation
3 to 6 People	Everyone speaks
7-10 People	Most people speak Quiet people say less Some may not speak
11-18 People	5-6 people say a lot 3 join in occasionally
19- 30 People	3-4 People dominate

The critical feature of this approach is the emphasis on *who* measures change and *who* benefits from learning about these changes.

> ***The attitudes and values of those involved in the process of monitoring and evaluation are more important than the tools or methods.***

Learning Points Review:

1. We can differentiate between assessing project process and project impact.
2. It is important to ensure that both quantitative and qualitative indicators to measure impact have been developed.
3. Participatory M&E methods can be introduced at later stage in the project and can still be valuable tools in assessing impact.
4. The value of participatory approaches extends beyond assessing project impact to capacity building and empowerment.

Session 9.3

Toolkits and Methodologies

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Recognise a selection of participatory tools for M&E
2. Apply relevant monitoring tools to monitor impact of research promotion

9.3.1 Introduction

There is recognition that *"current tools for assessing the impact of research communications [and promotion] are inadequate"*[44] and that an evaluations toolkit would be useful as an enabler for researchers and stakeholders to look for the different elements of change associated with their work.

This section offers a starting point in providing such tools. The table below lists possible communication methods for promoting research, and matches these with ways of monitoring impact.

9.3.2 A Note on Training Courses

Training courses are a popular and effective way of promoting research results and transferring relevant knowledge. Evaluating the impact of such training is a crucial part of making sure the training is a success. There are four commonly accepted levels for evaluating training and knowledge transfer. It is possible to evaluate training using less than all four levels. However, this would not give a complete picture of the long term impact of the training.

Level 1: Reaction
Level 2: Immediate
Level 3: Intermediate
Level 4: Impact

For each level, key questions need to be asked, relating to the objectives of the training given. Appropriate tools need to be selected to collect the information which trainers (and commissioning agency) can then use to evaluate the training.

The reaction and immediate levels are usually easier to assess as participants can answer direct questions about the training and there is direct relevance between the questions being asked and the content of the training course. The intermediate level is harder as questions asked relate to participants' performance after taking the course, and it becomes difficult to attribute change (or lack of change) directly to the training. The impact level (where trainers are assessing the long-term impact of the training) is the hardest to assess because there are many more intervening factors. Attributing changes in policy or policy development directly to actions taken as a result of a particular training course becomes a real challenge. This raises the same methodological issues of *attribution* as impact assessments of development projects; if change does take place, is this as a direct result of the training or as a result of factors in the broader, external environment (or more realistically, a combination of both)?

[44] From New DFID Research Strategy Communications Theme, draft, CIMRC/DFID 2003 p.8

Table 1: Monitoring Uptake		
Communication Method	**Possible Ways of Monitoring Impact**	
Telephone call	• Follow up with other call/ email message; ensure you have key contact name; suggest a personal meeting if possible; elicit requests for research papers, literature, etc.	• Continue liaising with key partner organisations. • Foster a strategic relationship. • Locate the official(s) key to accepting/ promoting/backing particular research output and ensure you keep in direct contact; feeding them up-to-date information; informing them of outputs, involving them in all steps of project to enhance ownership.
Email message	• Follow up with another email or personal phone call; suggest a personal meeting if possible.	
Personal communication	• Follow up with phone call or email message.	
Dissemination of research findings	• Monitor the demand for research findings (e.g. requests for: copies of reports; translation of information leaflets, video, publications; presentations at informal and formal policy-related meetings; invitations to speak to stakeholders). • Keep track of which organisation/body is making such requests; who the contact person is so you can build strategic trust relationships. • If the communications between the project and the interested party decrease, you need to rekindle the contact; send more information; have direct personal contact/visit to key people in the organisation.	
Dissemination of research outputs (X) to client community through different media (General)	• Surveys, questionnaires, individual/ group interviews (at set times) to see where people accessed information about X; where they remember finding out/hearing about X; whether their behaviour/opinions have actually changed in relation to X. • Observation of community practices (e.g. if research output was a message about recycling forest products; about collecting forest seeds and planting them at certain times; sourcing different fuel; changing crop patterns…) these are directly observable behaviours.	
Demonstration	• Follow-up visits to extension staff/institutions and client community to observe and discuss.	

	• Surveys, questionnaires, individual/group interviews to discuss relevance/ usefulness/impact of demonstration.
Workshop	• (similar to tools for monitoring training, see table below). • Daily written and/or verbal feedback. • End of workshop questionnaire/feedback. • Encourage participants to keep a daily learning journal of knowledge/ skills gained and to think about how these might translate into personal actions. • Discussions/interviews with staff managers/ community members and workshop participants about impact of workshop; changes that have/have not resulted; actions initiated as a result or workshop. • Direct participant observation.
Research paper	• Check numbers of papers disseminated? To whom? Requests for reprints. • Scan relevant press/journals/e-networks for reference to paper.
Training manual	• Requests for copies. • Look out for manual (or extracts from it) being used by others (other research institutions, extension services, NGOs, community groups…). • Look out for local adaptations of manual and welcome these.
Policy briefs	• Have a direct contact person and keep in regular contact about perceived usefulness of policy briefs (ask questions such as: how informative does your organisation find the brief? How useful? How could we provide more information that your organisation could usefully and strategically use?) • Produce a questionnaire/survey also asking relevant questions. • Review annual reports, policy documents and legal papers of partner organisations receiving policy briefs. Look for references to your research output and policy briefs. Look out for changes in policy intention. • Monitor requests for further information.

Table 2: Evaluating Training	
Uptake Pathway	**Tools for Evaluation**
Training course	1. Reaction level Key question: were the participants and trainers satisfied with the training? If there is dissatisfaction the trainers need to react promptly, elicit feedback and respond to participants' concerns. *Example tools*: • daily written and/or verbal feedback • end of course questionnaire • Review meeting 2. Immediate level Key question: have the participants benefited (knowledge/ skills/attitude) from the training? All training should result in improved knowledge and skills, and in certain cases training seeks to foster an attitude change. *Example tools*: • assessment of practice sessions and assignments (for evaluating attitude and skills) • knowledge based questionnaires (for evaluating knowledge transfer) • participants can also be encouraged to keep a daily learning journal of knowledge and skills gained and to think about how these might translate into personal actions 3. Intermediate level Key question: has the training course improved the participant's work performance? *Example tools*: • surveys, interviews and group discussions • with staff trained to discuss changes in their work performance and attitude • with their managers/ colleagues discuss whether staff have performed differently; impact of their changed performance on department/service as a whole • with the community members they work with discuss whether trained staff perform differently, whether their relationship with community has improved • review of staff performance reports, training reports • direct observation of trained staff at work 4. Impact level Key question: what has been the impact of the training course on the project activities/output/impact (for which the training course was held)? *Example tools*: • in the longer term and at agreed intervals, managers, (and/or external consultants) collate information gathered from each project (look for linkages, compare predicted and actual impact) • supplement this information with independent sample studies • reference to training course elsewhere; requests for more training • circulate feedback forms to trained staff/ their managers 6/12 months after course asking about course relevance; impact on work

9.3.3 Research Promotion and Ownership

We have already established earlier in the course that a sense of ownership of research ideas is a critical factor in the adoption of research findings. We have also discussed how this may conflict with professional requirements in terms of researcher ownership publication, etc. Below are some ideas for how you might enhance involvement of project stakeholders, with the aim of fostering their ownership. Some are more relevant for the client community (beneficiaries); while some can be used when trying to involve other stakeholders. Some key factors linked to local ownership include:

1. Local Value Systems

Consider how local value systems could be used to evaluate predicted impacts.

Example: when introducing a new tree species, consider the different values given to that species by all members of the community; men may want a specific tree for its timber (economic and other) value, women for its fuel, fruit, medicinal (household, economic and other) value.

Exercise 42:

Think of an example in your project where local value systems could be used to evaluate predicted impacts.

2. Consensus

Participatory approaches can be used to build consensus and resolve differences (guided discussions, focus groups, drama, ranking exercises etc.)

Example: This can be used with the beneficiaries, as well as with intermediaries and channels, local government officials, extension staff, NGO staff, other researchers, staff from collaborating institutions.)

Exercise 43:

Think of an example in your project where participatory approaches could be used to build consensus and resolve difficulties.

Alternatively, established community practices can be used to build consensus and resolve differences:

Example: village elder meetings; village councils; existing groups at community, local- and national government level, that meet to discuss e.g. land/natural resource issues).

Exercise 44:

Think of an example in your project where community practices could be used to build consensus and resolve difficulties.

9.3.4 Monitoring your Action Plan

The final stage in this course is for you to review your Promotion Strategy and Action Plan to ensure that you have developed appropriate indicators, means of verification and responsibility/schedule allocations to measure the effectiveness of your strategy. Remember to be realistic about what can be achieved but to share these achievements with others.

> Good practice, like good research, can only be shared and have an impact through good communication.

Learning Points Review:

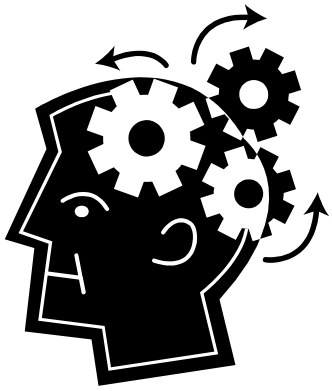
1. Current tools for assessing the impact of research promotion are inadequate; build on those presented in the section by developing your own tools in partnership with project stakeholders.

2. Remember to evaluate training courses you design and run to promote project outputs according to the four accepted levels of training evaluation.

3. Experiment with participatory approaches for monitoring impact.

Annex I

Psychological Aspects of Social Influence



A.1 The Communication Process

A.2 Exploring Attitudes

A.3 Cognitive Dissonance

A.4 Compliance Tactics

A.5 Group Dynamics

A.6 Group Conflict and Co-operation

Session A.1

The Communication Process

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Analyse the four elements of persuasive communication
2. Recognise each element and understand how it relates to your work
3. Improve your knowledge of persuasive communication through practical exercises

Introduction

So far in this workbook, we have examined what we hope to achieve (improved research-policy/research-development linkages), the systems and processes that might be used to strengthen the links (uptake pathways) and the actors – both individuals and groups we might need to engage (stakeholders). In this Annex, we look more deeply into questions of <u>how</u>, by examining the mechanisms by which people learn, the means by which we can advocate and the influencing skills that may be useful when working with individuals, groups or the general public en masse.

By examining psychological aspects of social influence we will review a number of theoretical concepts drawn from (social-) psychological research that concern communicating ideas to a target (stakeholder); producing attitude-change; instigating new behaviour; working with groups, etc. Not all materials will be of direct relevance to all projects; your objective while studying these pages should be to try to understand the general framework and apply it to your own project/ professional context. *It should also be remembered that the science of human behaviour revolves around probabilities rather than certainties and your own critical judgement will be needed to apply the ideas discussed below effectively.*

Promoting the application of research results following knowledge transfer can be seen in terms of an act of persuasive communication involving four elements:

- *a message* (the presentation of your research findings with a view to implementing change*),*
- *a source* (messenger, i.e. yourself),
- *an audience* or target (stakeholders at different levels) and
- *a context* (circumstances in which message is delivered).

The Message

This section examines the message with regard to the following possible variables:

1. two sided versus one sided message
2. salience and order of arguments
3. discrepancy and fear
4. positive emotions
5. central versus peripheral factors

The Two-Sided vs. One-Sided Message

While trying to induce change it may be more effective to include arguments in favour of traditional procedures as well as reasons for adopting the novel approach. The latter would obviously need to outweigh the former. By showing awareness of reasons to conserve the present status quo and then overruling these by arguments in favour of policies to be implemented, the communicator will be seen as objective and will be able to pre-empt resistance forming after the message is delivered. A one-sided message is more likely to lead to the recipient formulating counter-arguments privately and to resistance taking root. A two sided message could prevent counter-arguments gaining force by considering them beforehand and defusing them.

Exercise A.1: Can you think of an example of this when arguing for a change in government policy?

Order of Presentation of Arguments

Psychological research has demonstrated the existence of primacy and recency effects: in a list of items those presented first and last are best remembered (due to the absence of proactive and retroactive interference in short term memory which facilitates transfer to long term memory).

This implies that your most powerful pro-change arguments are best presented first and repeated at the end. They could also be elaborated and illustrated in middle sections of the message. In the process of elaborating, specific counter arguments could be inserted and overruled.

Exercise A.2: Advantages and disadvantages of nurseries and direct sowing, according to trial farmers[45]

Question: If you favour the nursery method over direct sowing, a one sided message would include arguments A and D (Why?). A two-sided message would feature all

[45] P.N. Bradley and M. Huby. (ed). 1993. Woodfuel, Women and Woodlots

arguments mentioned, but arguments B and C would be given less prominence (How?)		
Method	**Advantages**	**Disadvantages**
	A	B
Nursery seedlings	Seedlings can grow strong before transplanting	Transplanting can kill seeds
	You can decide later where to plant them	Field preparation is more difficult
	You only have to dig holes before planting	Seedlings heavy to transport to field
	Nursery can be watered during dry spells	Nursery infrastructure is expensive
	Seedlings can be monitored and be transplanted at different stages of growth.	
Direct sowing	C	D
	Easy to manage; only sowing and weeding needed	Needs regular weeding and thinning; labour-intensive
	Does not damage roots in transplanting seedlings, seedlings develop quicker	Needs more seed to reach final density – because you need to sow more to allow for failures and thinning
		Sensitive seedlings cannot be protected from hail, heavy rain or sun
		Young seedlings can be spoilt during weeding

Salience of Arguments

Apart from serial positioning, points in support of your case could be rendered more vivid by (limited) repetition, specific illustration, elaboration and audio-visual support.

***Example**: I admit the new crop will require changing your approach a little, but do not forget, it is less likely to be lost. It is less likely to be lost since parasites are unable to penetrate….etc. A slide could be shown as a graphic support of the point made.*

Message Discrepancy

It seems important however that the degree of contrast with the existing procedure or position should be of intermediate magnitude or strength. Research has shown that the relationship between discrepancy and likelihood of change is curvilinear. If the contrast is too slight there may be lack of motivation to change while to much contrast is likely to be counterproductive and to produce resistance. This means that the proposed change is significant but that aspects of existing procedures are retained to a certain extent. Don't preach an unnecessary revolution, but underline that partial changes are indispensable.

Fear Appeal or Threat Factor

The same applies to the extent to which your message arouses concern. It seems important that awareness is raised about the dangers of existing procedures and that the need to change is seen as directly relevant to personal interests. At the same time coping with those dangers should be within the targets' control and should be achievable by implementing proposed plans. If the new methodologies are too difficult to implement or would not deal with the danger factor effectively, the target is likely to tune out and reject the threat.

Example: Unfortunately I need to draw your attention to what happened seven years ago in the northern region when excessive rainfall damaged the harvest. There were casualties due to depleted food stocks. This proposed strain is far less likely to rot in humid circumstances. Lives will be saved and anxiety can be avoided.

Positive Emotions

Research has also shown that proposals are more acceptable when recipients are relaxed and comfortable. The setting in which you promote change may be as important as the message.

Central and Peripheral Route to Persuasion.

Linked to the above is the extent to which your audience may be influenced by so-called peripheral factors. A target may prefer to focus on context aspects such as sophistication of audio visual aids, style and place of delivery; linguistic competence of source (scientific vocabulary), apparent importance of meeting given quantity and quality of people present, etc. – rather than the content of the message given. It may be necessary to pay attention to such peripheral factors of the message, though your own competence and beliefs about the relevance of the content will naturally shine through.

EXERCISE A.3: Self Check - The Message

Answer the following questions, individually or by discussing them in small groups

Question	Explain why
1)A one-sided message: a) sides with the audience b) presents only advantages c) both of the above	
2)A two-sided message: a) is more objective b) is neutral to your proposal c) is ambiguous	
3)Arguments against your proposal are best put forward: a) at the beginning b) in the middle c) at the end	
4)A salient argument: a) appears relatively vivid and important b) is elaborated and repeated c) is better remembered d) all of the above	

5)The discrepancy of a message: a) refers to the extent to which a proposal involves changing existing scenarios b) should be neither too small nor too extreme refers to failing to practise what you preach c) a) and b) are accurate	
6)Fear can help motivate an audience (stakeholder): a) if the latter feels there is a solution b) if the latter feels out of control c) both of the above	
7)Paradoxically pleasant feelings should also be fostered: a) in association with the proposed solution through feel- good factors (jokes, snacks, drinks..) b) to neutralise the stated risks c) a) and b) are accurate	
8)The 'peripheral route' to persuasion: a) involves all factors of influence other than the contents of your message b) does not regard appearance, reputation, verbal fluency, etc of the speaker (=you) c) means you don't mention your true intention	

The Source

This section explores the source of your message under the following headings:
- self interest
- credibility
- likeability
- similarity
- grounding

The immediate source of the message is you, but you may wish to refer to a more distant source such as your donor, the scientific community, the team of researchers, etc. At all times personal credibility as well as the absence of self-interest are of much importance.

Credibility
Your credibility will benefit from presenting your credentials (I am Doctor Freeman, I have done research in this field for many years/ in different countries, etc.) and your brief as non-political. It will hardly come as a surprise that social psychological research has shown that college teachers and medical doctors are perceived to be more truthful and trustworthy than advertisers and car sales men. It was also found that a well-spoken, smart and knowledgeable source is perceived as more trustworthy. However these factors are difficult to introduce if not naturally present. On the contrary, excessive self-monitoring could compromise credibility. The best approach is to concentrate on the rational quality of your arguments and to believe in what you are saying.

No Self-interest
Research has demonstrated how a political speech accusing a large corporation of polluting rivers is perceived as less sincere if a pro-environment candidate addresses an environmentalist group than if a pro-business candidate addresses company supporters. Apart from having no material benefit from proposed solutions, the source should therefore have no apparent political or career interest in the persuasion process.

Your job is to tell the audience as clearly as possible what you found and to some extent it is up to them what they do with it. If the audience perceives you to be overeager, it might be inferred that you are gaining in status by convincing them. Examine your motives and try to forget about your career, your employers, your next assignment, etc. Consider your message to be a logical product, its delivery a rational process and focus on the personal interests of your audience only. Your message is scientific and humanitarian.

There is a difference of course between self-interest and enthusiasm – Greenpeace for example has tremendous influence precisely because they are keen and eager and have demonstrated scientific knowledge too.

Likeability and Liking
A likeable source is more effective in the process of persuasion. Your meeting with a stakeholder group is a social occasion. Try to enjoy it. Greet your audience and enquire about their well-being. Avoid being conceited, aggressive, or miserable, or transforming feelings of frustration you may have into an assertive attack on variables you aim to change. Liking is generally reciprocal, so aim to appreciate your audience. See the human beauty in the people you are addressing and express respect. *Your knowledge about the topic that you are discussing is superior to theirs. In other domains of life they could be your teachers.*

Similarity
It may help to stress similarities or link-factors between you and the audience. You could also use a representative of your audience to deliver part of your message. Source-recipient similarities increase liking and benefit persuasion. Familiarise yourself with aspects of local customs and integrate a greeting, gesture or story in your delivery.

Grounding
Attempts to control factors regarding yourself could be a two-edged sword. It has already been stated that too much self-awareness should be avoided. Dress to the occasion but avoid being ill at ease. Try to remain grounded and use whatever strategy you use in other walks of life to feel good, alert yet relatively relaxed. Have a workout, a shower, a meal, a breathing exercise beforehand. Try to be message- and - audience-centred instead of self-focused.

Remember:
What you say is more important than what you are, or, in other words, you are what you say. There is evidence of a 'sleeper effect' involving a delayed impact of a strong message delivered by a low credibility communicator. Initially the latter did not appear very successful but after a while the message was found to have hit home.

Exercise A.4: Self Check - The Source

Answer the following questions, individually or by discussing them in small groups:

Question	Explain why
1)You should have no apparent self-interest in proposals to be adopted because: *a) your primary interest is the progress of science* *b) your primary interest is the targets well-being* *c) your perceived objectivity could be compromised* *d) both b) and c) apply*	
2) Your credibility could be: *a) boosted by competent use of expert terminology, audio visually presented evidence, professional track record etc.* *b) increased by intense self-monitoring (self-awareness).* *c) both a) and b) apply*	
3) Likeability: *a) is promoted by liking your audience and your job.* *b) could benefit from a few jokes rather than many or none.* *c) both a) and b) apply*	
4) To increase your effectiveness: *a) you should remain external to the community to be seen as objective* *b) you could focus the targets awareness on similarities with you* *c) you need not learn about the local culture and local customs*	
5) Grounding refers to: *a) landing your project* *b) leaving your target no illusions about any risks* *c) keeping both feet on the ground and staying calm*	

Exercise A.5:

List factors concerning yourself that you think you could improve with regards to convincing your audience. Make a note of when you think these could lead to excessive self-monitoring. Elaborate on those that have additional relevance, such as feel-good factors if these could improve your overall (job-) satisfaction.

The Audience

This section considers the audience under the following headings:

- relevance of message, i.e. message has direct impact on audience interests
- difference in need for cognition and self-monitoring
- cultural differences (individual – collective)
- forewarning
- anxiety and self-esteem

Relevance of Message to Audience

If a message is directly relevant to the audience, the latter will follow the central route, i.e. examine the arguments carefully. If not, peripheral aspects of the communication process become more important. A group of farmers may examine your proposed changes very carefully before committing themselves to a new agricultural procedure. If the next crop turns out badly they are immediately affected. A distant government representative might be more impressed by your credentials and your financial back-up. S/he may be happy to try out a good looking experiment that won't hurt him/her if it goes wrong and may process your message differently.

Individual Differences in Need for Cognition and Self-Monitoring

Some people are high in need for cognition or understanding; they are critical thinkers and problem-solvers. Others might focus more on social aspects of a procedure and think about who they are going to do it with, rather than how they are going to do it. A road architect is to be addressed differently from a foreman whose responsibility is to recruit. A group of farmers might respond differently from a group of local women, whose interest may lie in crop-distribution as much as in crop-production.

Likewise, differences in self-monitoring differentiate image-oriented from information-oriented targets. The first category is likely to include political roles and may be more affected by a message promising a desirable self-image: you will be seen as the innovator. The latter is best addressed in terms of procedure effectiveness and could include farmers, builders etc.

Cultural Differences.

Individualistic cultures promote personal achievement and self-improvement. Collectivist cultures value social integrity, togetherness and group well being over individual success. You are most likely to operate in collectivist cultural setting, but it must be remembered that those with executive powers would have made career choices indicative of individualistic needs.

Forewarning
An audience which is forewarned of attempts to persuade might be harder to convince because it has time to formulate counter-arguments and becomes aware of the source's intention to change attitudes. In some cases it may be effective to hold back some of your arguments to hit your target unaware, especially if political motives play a role. This could apply if members of your audience are to be expected to publicly oppose your case because they have a vested interest in the status quo (the family business would be harmed by change). We have discussed the issue of negative stakeholders earlier in the workbook. If your audience is however directly concerned and affected by the message and your arguments are strong, forewarning through word of mouth etc. could have reinforcing effects.

Anxiety and Self-Esteem
An anxious audience is more likely to yield to pressure and be convinced, but could be less likely to comprehend the message. Before procedures are implemented additional explaining may be necessary.

People under varying pressure or with different levels of self-esteem and self-confidence might comprehend messages differently. Some might resist for esteem anxiety reasons. Try to present the message in a way that increases self-esteem if accepted.

Exercise A.6: Self Check - The Audience
Answer the following questions, individually or discussing them in small groups:

Question	Explain why
1) A message which is directly relevant to the target (stakeholder/audience): *a) is delivered directly to it* *b) will be emotionally distorted and inaccurately processed* *c) has a direct impact on the target's well-being*	
2) A target high in need for cognition: *a) seeks to raise it's self-esteem* *b) will pursue it's own interests* *c) will try to understand completely*	
3) A target which is highly image conscious: *a) will try visualise the project* *b) is especially aware of physical appearance* *c) should be given credit for innovating*	
4) Forewarning could handicap you: *a) if your target is conservative* *b) if your target is progressive* *c) both a) and b)*	
5) An anxious audience: *a) will understand the message better* *b) may well be more willing to change* *will be anxious about giving up traditions*	
6) The target being high in self-esteem and self-confidence: *a) could favour calm processing of the*	

message *b) should be maintained by deriving esteem from the plan* *c) both a) and b) apply*	

Exercise A.7:

Reflect on the audience characteristics outlined above. Which of these apply to your case? Which of these did you fail to take into account in particular cases in the past? How might you have done better?

The Context

This section examines the context in which your message is delivered, specifically with regard to:

Credibility

Context-factors related to location might enhance message credibility. A meeting with regional representatives might be held in a University lecture theatre.

Relevance

The relevance of the local context could facilitate message delivery. A meeting might be held in the forest or agricultural area of concern. This would provide concrete examples to support the message.

Timing

Think about the time frame of your message, in terms of daily and seasonal rhythms. The message could be more effective if delivered before or after day's work or before or after the harvest season.

Pleasantness

As argued before the spatial and temporal context should be agreeable to help the persuasion process. A meeting in the evening cool could be preferable to a gathering in the midday heat, etc.

Exercise A.8

Discuss which of the factors above could be relevant to your project.

Learning Points Review:

1. Two sided messages may be more effective than one-sided arguments.
2. Other factors connected to performances include salience of arguments, message discrepancy and fear.
3. Apparent lack of self-interest will help your cause.
4. The relevance of your message to your audience will relate to individual as well as cultural differences.

Session A.2

Attitudes

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Analyse the function of attitude in communication
2. Identify strategies of attitude change

Introduction
In this section we will examine the concept of attitudes in order to take a closer look at the origin and function of attitudes and at the link between attitudes and behaviour since these are targeted by your message.

Definition
Attitudes are beliefs people have about important 'objects' in their life, such as religious and political issues, sexuality, health, food and drink, the environment they live in, the crops they grow, etc.

Function of attitude
a) Attitudes can have a ***value expressive*** function and help the holder express a desired identity. As such they are components of the self concept and help project a self image. If a person considers his/her task in life to represent values of the past and to preserve a way of living his/her response to proposed change would be different from a person valuing present well-being and adaptation over traditionalism.

Related to the above is the ***self-affirmative*** function of attitudes. The definition of the relationship between source and target of message, between expert and stakeholder requires consideration. Does the researcher work for, work with or give orders to the stakeholder? Clearly an authoritarian approach is to be avoided. The target of the persuasion process should be allowed to attribute credit to itself for authorising innovation after critical examination of evidence.

b) Attitudes can be ***ego-defensive*** to protect oneself from facing unpleasant truths about oneself. A farmer opposing a project involving local women may hold a gender prejudice because he needs to boost low self-esteem by downgrading others or because he has problems living in genuine and equal intimacy.

c) Attitudes result also from conditioning, i.e. there is a pay-off for doing or seeing things in a particular way. This ***instrumental function*** of attitudes could lead people to hang on to a way of doing things because they believe it is best for them. This may prevent them from discovering a more effective solution.

d) Attitudes are part of a belief system that structures the world. They have a ***knowledge function***, providing a frame of reference in a chaotic world. People may, for example, develop beliefs to make sense of the indiscriminate killing by the HIV virus. Consider to what extent the beliefs you are trying to change are connected with other important beliefs. Formulate your proposals in appropriate terms.

Strategies of Attitude-Change
Changing resistant attitudes may require the following considerations/tactics:

a) A stakeholder may oppose the implementation of new methodologies for reasons related to the ***self-concept***: I can do things on my own / My parent's teachings are not to be invalidated / I don't want to be told by strangers/ etc.

Find ways of demonstrating that flexibility, adaptability and objectivity would upgrade self-concept and that criteria by which stakeholders judge themselves (internalised parental standards) need to be reformulated/ transcended. Specific parental instructions are reformulated given the survival value expressed (inherent) in the new methodologies).

b) A stakeholder may oppose for ***ego-defensive*** reasons. A village-head could be given credit by actively proposing changes to community rather than passively going along; a villager might be helped to redirect negative motives; if he is willing to work with those he preferred to disqualify to protect superiority feelings. He could be given a self-perceived leading role in a collective exercise obtaining better results than the next village. In-group to out-group superiority could replace individual superiority needs. Competitive individuals may work well together if they are trying to 'beat the other team' rather than each-other.

c) A stakeholder may oppose proposals if holding misperceptions regarding the benefits versus costs of the new methodology. Here you may need to repeat scientific arguments and data and propose a low risk experimental trial run to increase proposal credibility. Proposed changes are to be seen as ***instrumental*** to personal interests.

d) A stakeholder whose opposition is mainly embedded in a network of world-structuring perceptions would again be approached with subtly formulated scientific arguments embodying the ***new knowledge***. For example:
'You correctly point out that trees are for building and burning. However you observed the slides showing erosion in deforested areas. What is your inference? Your conclusion is accurate and to the point. As you argue, trees also retain soil and their other functions may need to be put on hold'

Exercise A.9: Self Check - Attitudes Answer the following questions. Clarify your answer.	
1) A value-expressive attitude: *a) is not connected to religion* *b) involves a material pay-off* *c) could express an aspect of the target's self-concept*	
2) Proposals that seem to go against a belief system or traditional values: *a) could be reformulated as a new application of old values* *b) might turn out less contradictory if old directives are re-worded* *c) are best presented with scientific confidence*	

but philosophical modesty *d) all the above*	
3) An attitude which affirms a target's identity, e.g. 'I want to cut trees because I am the lumberjack', is best changed: *a) in a context where you are subordinate to the target* *b) by creating a new role of equal or superior status: 'we need you as project supervisor/ as our local technical consultant'* *c) by fostering self-discovered arguments for change instead of imposing these externally.* *d) all of the above*	
4) The instrumental function of an attitude or a favoured routine could explain why a target may hang on to it: *a) it has paid off until now* *b) necessary instruments and tools are available* *c) other procedures were tested and found inferior*	
5) An attitude is ego-defensive when: *a) it is defended against criticism* *b) a person distorts facts (because...)* *c) self-interest/-esteem is threatened* *d) both b) and c) apply*	
6) If the target resists change because of it's self-concept, this could be overcome by: *a) giving the target intellectual ownership of the new plan* *b) demonstrating the project contradicts traditional scenarios* *c) pointing out that fundamental values need innovation*	
7) Individuals with superiority needs: *a) need to be given decision power* *b) are better excluded from proceedings* *c) might like to belong to an in-group out-performing other groups.*	
8) World structuring perceptions might accommodate a new view more easily if: a) the target is gently guided to that view b) the source is expert but non-authoritarian c) the target is actively involved in analyzing data and drawing inferences *d) all of the above.*	

Exercise A.10:

List examples taken from professional experience of how different attitude functions may underlie resistance to new methodologies. Formulate ideas about how these might be overcome.

Learning Points Review:

1. An attitude is a belief held about an important aspect of life.
2. Attitudes can fulfil a number of functions – they can be value-expressive, self affirmative, instrumental, ego-defensive or perform a knowledge function.
3. Changing attitudes will involve consideration of each of the above possibilities.

Session A.3

Cognitive Dissonance

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Recognise the relevance of self-perception in changing attitude and behaviour
2. Apply cognitive and behavioural strategies to your work experience

Self-Perception

People are motivated by a desire for cognitive consistency, a state of mind in which one's beliefs, attitudes and behaviour are compatible with each other. If attitude (I believe that smoking is bad for me) and behaviour (I smoke) are in contradiction a state of tension arises which is called ***cognitive dissonance***. The conflict can be resolved by changing the attitude (smoking is not as bad as they say and helps me relax) or the behaviour (I stop smoking). Arguably we do things in a particular way because we believe this to be right. But it may be that action precedes belief; we find ourselves doing something and infer our beliefs from our behaviour.

The ***self-perception*** theory argues that people don't always have first hand knowledge of their attitudes. Being used to doing things in a particular way leads to the belief that that must be right.

The message you are delivering may draw attention to shortcomings in current practices and so disqualify underlying attitudes. The most immediate defence against experiencing such dissonance is to reject the message, e.g. by derogating the source or the evidence.

If however many of the factors discussed above operate actively and render the message powerful this may be impractical. It could be that there already was some awareness and that a certain degree of latent dissonance already existed. Individuals divided within themselves or an audience divided within itself can be more easily convinced.

It could also be that current practices are not based on strongly held beliefs, but are simply routine scenarios more open to change. A behavioural scheme encouraging stakeholders to take part in a project advocating a new approach might then be easier to implement and might surreptitiously induce different attitudes ('I kind of like doing things the new way; come to think of it, it is probably better anyway, otherwise why would I be doing it?) In other cases, more explicit and powerful beliefs may be at stake.

Cognitive and Behavioural Strategies

There are two routes to producing change. The ***cognitive strategy*** would target attitudes, the ***behavioural strategy*** would target behaviour. If the message 'burning trees is bad' hits home it is likely that the destructive behaviour will cease in order to remove the ***cognitive dissonance***. If, on the other hand, the stakeholder could be brought to stop burning trees through other means, attitude change might automatically ensue. If better fuel alternatives or alternative areas for cultivation are made available, stakeholders might decide they actually prefer seeing the trees grow and the forest

expand. The belief that *'burning trees is bad'* would easily take root since the behaviour giving expression to it has already been adopted.

The behavioural approach to implementing new methodologies could consist of inviting people to take part in a one-off experiment. They are likely to adapt their views subsequently. The more they actively cooperate, the more they will feel intellectual ownership of the ideas discovered by inference.

Surprisingly, external rewards are only useful when applied in moderation. A small incentive might help to get things going, but a large reward (which cannot be maintained!) would lead people to attribute their effort to external factors: 'I planted the trees because I was paid twenty dollars' vs. 'I planted the trees and (therefore) I believe it was necessary to plant them.

Apart from proving that new methodologies are effective, it contributes to participants' self esteem if they persuade themselves. They justify their own effort by deciding that the new approach they have been invited to adopt must be attractive and effective.

Exercise A.11:

Discuss and compare:

1) I invite you to do something and once involved in the action you come to like it (justification of effort/ intrinsic motivation).
2) I pay you to do something: and you may attribute your cooperation to external factors (extrinsic motivation).
3) I argue that you should do something and you may go along but privately reject the arguments.
4) I recommend that you do something and you may accept the evidence and comply both publicly and privately.

In practice a combination of (behavioural) approaches (1 and 2 above) and (cognitive) approaches (3 and 4 above) may be most effective. Ideally spontaneous involvement is preferable but an additional incentive may be necessary (grant). Self-discovered reasons for adopting a new approach may need backing up by arguments put forward with scientific authority.

Note that it is important even when in the role of expert dispensing scientific knowledge you take self-esteem factors into consideration. This could be termed ***the Best of Both Worlds*** approach. While being firm about your expertise in a particular domain, you express appreciation for the culture, the people, the climate, the landscape, etc. of the local country. Your training has given you skills to solve material problems; your wanting to work and be in the 'the South' reflects how much you value equality, poverty alleviation, particular lifestyle factors, spiritual values and other contextual variables of the country in question. This could serve the double purpose of allowing the target to conserve self-esteem and believe you are not driven by material self interest.

The above applies if you are a foreign national; if you are not you may still benefit from stressing that though valuing imported expertise, you hold local cultural and spiritual values in high esteem. You have not been 'brainwashed'.

Exercise A.12: Think of examples in your personal experience of when you developed an attitude after more or less accidentally engaging in a particular activity. Think of examples in your professional experience of when you did induce or could have induced people to take part in novel schemes or activities. Could you ascertain whether their attitudes shifted or did not shift as a result of having acted as they did?

EXERCISE A.13: Think of how a particular project might be adopted by inducing behaviour rather than planting the idea. Focus on HOW rather than WHY: Assuming we were going to do this, how would we go about the task? Discuss roles, tasks, time-scale, resources, tools etc. Visualising the steps is like mentally enacting the process. This approach could prepare the target for the ready absorption of the idea that it needs to be done; to some extent (s)he has already done it.

Exercise A.14: Self Check - Cognitive Dissonance

Answer the following and explain

1) Cognitive dissonance a) refers to a conflict between what you believe and what you do b) cannot be solved by behaviour change c) always leads to a change of attitude	
2) Cognitive dissonance produced by your message could lead to a) your credibility/expertise being questioned. b) to the rejection of your message. c) the changes you are advocating. d) all of the above.	
3) A new plan which promotes the community's interests more effectively, could resolve dissonance a) if adopted b) if rejected c) if reformulated.	
4) The cognitive strategy to change means the target will start to a) see things in a different way. b) do things in a different way. c) both.	

Learning Points Review:

1. Cognitive dissonance refers to a state of tension when there is a discrepancy between attitude and behaviour.
2. Self-perception theory argues that people do not always have first hand knowledge of their attitudes.
3. Cognitive strategies target additional change, behavioural strategies target behaviour.

Session A.4

Compliance Tactics

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Identify a selection of compliance tactics
2. Apply different compliance tactics to your work

Outline of Compliance Tactics
Social psychological research has investigated the following compliance techniques involving a sequential request strategy. We outline them here briefly so you can reflect further on how best to implement a behavioural change strategy associated with your research.

The strategies consist of a two step process involving shifting from one proposition to another of a different size. They may seem apparently simplistic salesman techniques; indeed the target person's self-image, his/her commitment to a product (idea/action) and/or obligation to the 'seller' (source of message = you) are respectively manipulated.

The Foot in the Door. You begin with a small request that can hardly be refused. Once agreement is secured you follow up with a bigger request.

- Example: *Why don't we plant a few of this specimen I brought with me; it will only take a little while'*.

Once done you point out how excellent it would be to complete a whole plot.

Low Balling. You secure agreement with a relatively small request and progressively reveal hidden costs. Once committed to a line of action which was presented with a favourable bias, people increasingly focus on positive aspects and are willing to accept additional extras.

- Example: A small-scale agricultural experiment requiring relatively little effort is set up. You follow up *'Fantastic. Indeed the project is best left in your hands You have the competence to monitor the project, give care, irrigate or fertilise, take samples, etc.'*

Apparent Concessions. Begin with a big request and follow up with a small request, which is then more likely to be successful because of: *perceptual contrast* or *apparent reciprocal concessions*.

- Example: '*I have been told to ask you to adopt this new methodology in all your cultivation practices in order for the grant to be released. However I may be able to get funding if we apply the new method to at least half the area in question'.*

That's not all folks. A proposition is formulated. Before refusal is made additional bonuses are revealed.

- Example: You've made a request that you feel is about to fail. You have a few cards up your sleeve and are able to produce extra arguments as audience objections are put forward, and/or can offer additional incentives: *'Indeed, the*

project would require much effort, but my organisation offers supplementary funding/materials/tools etc.'

The techniques outlined above need to be subtle and need to come from a source which is genuinely motivated to work for the interests of the target group. As simple sales tricks they would backfire. To an extent the strategies contradict each other: Is it easier to get the community to plant 100 trees by first asking to plant 20 or 500? Experience and intuition may help you decide.

Exercise A.15:

Bring back to mind an example of how you tried to convince stakeholders to take part in implementing a new methodology on a trial basis adopting a new policy idea. How successful were you? How might you be more successful in the future? Which of the compliance strategies seem most useful?

Exercise 16:

You are explaining to villagers how building a windbreak from a row of trees would reduce wind-erosion of their fields. A more widely spaced 'hedge' would be semi permeable and avoid an abrupt drop of the air-stream after the barrier. The crop output will be enhanced if there is less wind disturbance. Additional benefits will be the availability of fire wood, wood for building etc. Additional costs will be that apart from planting the hedge seedlings, the hedge may require irrigation, weeding, etc.

1. How would you get your foot in the door with your plan?
2. How would you strategically reveal that extra effort might be needed?
3. How would you alternatively downscale an overstated proposal?
4. How would you add extra benefits to a project which hangs in the balance?
5. Record your answers below:

Learning Points Review:

1. A number of tactics can be employed to encourage compliance with your proposal.
2. They will only work if they come from a source which is genuinely motivated to work for the interests of the target group.

Session A.5

Group Dynamics

SESSION OBJECTIVES: ***Upon completion of this session you will be able to:***

1. Analyse the different levels of collective effort
2. Recognise decision processes as they occur in your work
3. Develop strategies to deal with the variety of decision processes

Introduction

When communicating and working with groups rather than individuals it may be helpful to be aware of the following. The presence of others tends to produce additional arousal (evaluative apprehension) *facilitating* performance on easy tasks but *inhibiting* the performance of difficult skills. Participants work best together on tasks they master easily; when learning new skills group-members might practice better individually/privately. *Would this finding apply to the context of promoting new methodologies?* Moreover, consider that there may be more pressure to *conform* to the old ways in the group context as well as increased *self-awareness* and fear of failure. *Would it make sense to talk to farmers individually and to get them to rehearse a new skill or method on their own?*

Collective Effort

Individuals try harder on a collective task when they think their efforts will help achieve outcomes that they personally value. They will also work harder when they feel their individual performance can be identified, providing their level of competence excludes *social inhibition.*

In a harder task collective action is more effective if only pooled results are evaluated. New methodologies implemented by highly motivated stakeholders may well benefit from *group-cover*. All members would be absorbed by their task and have little time for mutual monitoring (reducing evaluation apprehension). On the other hand, it matters to avoid a phenomenon termed *social loafing*, when group-members get lazy because they think the others will do the work. Those who are last to volunteer are more likely to fit that description; you might instruct them to work in smaller groups, making individual input more identifiable. Also try to ensure that the project is seen as meaningful to general and personal interest and stress that all contributions are essential to the overall result.

Exercise A.17:

Think of past situations when you were involved in trying to get stakeholders to work in groups. Was it possible to assess levels of individual motivation as well as anxiety or laziness? Could groups be formed in a manner to maximise output? If examples in the past are hard to find try to anticipate situations you could encounter in the future.

Decision Processes

When communicating with a group and while trying to reach agreement on a course of action, it is important to be aware of the following. There may be *group-polarisation* towards extremes of either risk or caution. The group-discussion can increase individual tendencies of members. This can be due to the *persuasive arguments* effect given the volume of points raised with respect to a course of action. It could be due to *social comparison* and conformity, i.e. wanting to do like the others do. It could be due to *social identity* reasons, since by taking a strong common stand possibly in contrast with an out-group, the group identifies itself.

- These effects could work for you or against you, depending on whether individual tendencies are predominantly in favour of or against your proposals. If the group is leaning towards compliance with your ideas, the above effects could produce a positive momentum you can capitalise on.

- If the effects would work against getting your proposals adopted it may help to reduce conformity pressures and discuss the project in *smaller groups*. You could refer to a bigger group context and point out that in other villages the proposals were accepted and that indeed the new methodologies are likely to be accepted in a wide area. This could be reinforced by bringing outside representatives from those groups to demonstrate and illustrate your case.

- You can bring in your own *technical expertise*: "It is beyond doubt that this new strain of matoke is more resistant," as well as your *psychological expertise: "*We must avoid *group-think* effects where pressure towards uniformity and collective arousal would prevent us from examining all aspects accurately. Urgency should not compromise accuracy. Let us ensure that all alternatives and arguments are surveyed and avoid the risks of premature and one-sided decision making in an atmosphere of false group security."

Exercise A.18:

You believe that using wild harvested foods is a good way of trying to sustain the rainforest. A survey shows that the views among local people vary as follows: 15 % strongly agree; 30 % agree; 20 % are neutral; 20 % disagree; 15 % disagree strongly. How might you divide the local community in two or more smaller groups and capitalise on group polarisation facilitating acceptance of your plan?

Learning Points Review:

1. Individual behaviour is affected when part of a group is polarised in their views.
2. Individuals work harder in a group for outcomes that they personally value.
3. You should organise groups differently depending on whether they are predominantly in favour or against your proposal

Session A.6

Group Conflict and Co-operation

SESSION OBJECTIVES: *Upon completion of this session you will be able to:*

1. Identify examples of social dilemmas
2. Recognise approaches for resolving social dilemmas
3. Apply psychological and structural approaches to resolve social dilemmas in your work context

Social Dilemmas

The pursuit of immediate self-interest can easily harm the collective interest and will ultimately result in individual loss for everyone.

- *Example:* The quickest way to dispose of personal rubbish may be to just dump it somewhere, but it is clear that the ensuing pollution will harm the community and be self destructive in the longer term.

In **social dilemma**-situations the apparently most rewarding individual choice leads to common loss.

Another category of dilemmas involving such a conflict of motives - the ***Resource Dilemma -*** concerns how two or more people share limited resources***.*** These come in two basic types: ***Commons dilemmas*** and ***Public goods dilemmas*****.**

If people take as much as they want from a limited resource that does not replenish itself, nothing will be left for anyone. The tragedy of the commons would originally arise if people would let their animals graze indiscriminately on the town's grassy commons, which would end up stripped, threatening animals and owners' food supply. In a more modern context and at a more global scale, phenomena such as deforestation, air pollution, ocean dumping, over-fishing, and population expansion are all the result of un-resolved resource dilemmas.

In a *public goods dilemma,* individuals are supposed to contribute goods to a common pool, such as a blood-bank, library, road-upkeep, etc. If too few give, the service cannot continue. Again private gain conflicts with the public good.

In an experimental example Kaori Sato[46] demonstrated group dynamics in a tree management project. If all group-members would wait to harvest trees until they had grown to maximum height, all would receive more money. Subjects however tended to take from their shared resource too early, afraid to miss out on their share of the profits. This demonstrated a lack of communication and trust as well as lack of a controlling authority.

[46] 'Distribution of the cost of maintaining common resources' in: Journal of Experimental Social Psychology,23, p.19-31,1987)

Exercise A.19:

To what extent have you encountered social and resource dilemmas while interacting with stakeholders on community issues? Could it be helpful to discuss in theoretical terms as above in order to raise awareness of the pitfalls?

Solving Social and Resource Dilemmas

The following factors need to be considered in the process of trying to solve dilemma situations.

Psychological Factors

1) Individual/cultural differences

a) Having a co-operative personal orientation
b) Having a collectivist cultural orientation
c) Trusting others

These factors cannot easily be manipulated since they refer to theoretically stable characteristics. It may however be possible to select relatively cooperative and trusting volunteers to take part in a pilot study or trial run of the project thereby creating a facilitating context for others to be included at a later stage.

2) Situational factors

a) Being in a good mood.
b) Having had successful experience managing resources and working cooperatively.
c) Seeing unselfish models
d) Having reason to expect others to cooperate.

A successful trial run or the fostering of solidarity feelings in a village-meeting could establish 2c) and 2d). Once the project has started or changes are implemented, 2b) will apply.

3) Group-dynamics

a) Acting as an individual rather than in a group.
b) Being in a small group
c) Sharing a social identity or super-ordinate goals.

Giving specific tasks to individuals or smaller groups could ensure 3a) and 3b). At the same time there should be a collective pay-off and a common identity feeling may ensue from being e.g. 'The example-village' or 'Members of the Pioneer-Project'.

4) *Structural arrangements*

a) Creating a pay-off structure that rewards cooperative behaviour and/or punishes selfish behaviour.
b) Removing resources from the public domain and handing them over to private ownership
c) Establishing an authority to control the resources.

Once conformity pressures swing towards favouring the new project the penalty for deviance will be loss of status, liking and belonging in the group. This may be reinforced by instating 'neighbourhood-watch-services', checking that planted trees or crops are not damaged or stolen. This of course may be impossible in some cultures where 'watching' is associated with ill omens. Penalties might be introduced. Smaller units feedback their results in global meetings allowing the larger group to exert influence over efforts at that level. Point 4b) refers to western examples such as railway management, but could be applied to development settings by giving smaller communities full responsibility and ownership of - for example - a newly planted forest plot. This also may be difficult if requiring changes in the law.

Exercise A.20:

Study the listed factors with care. Which could be useful in a practical developmental context? Discuss whether structural arrangements can realistically be operationalised?

Exercise 21:

A tree planting project is accepted by majority vote. Hundreds of seedlings will be planted for fuel, fodder and building material. The seedlings will need careful monitoring. They may require watering, weeding, protection from being eaten by animals etc... Once more mature, the planted trees may be harvested in a sustainable fashion.

Villagers are expected to cooperate with the project and contribute their share in producing seedlings, planting them, monitoring and protecting them, avoiding premature cutting of wood, avoiding using more wood than allocated to them, etc. The plan will work well if there is mutual trust. But it is possible to cheat. Some might fail to contribute (fully), others might take more wood than their share, or both.

If individuals choose to cheat, they could get a lot of benefit for no effort (pay-off equals 25 points). The cooperative individuals would work hard and receive little (pay-off equals 25 points). If all were to cooperate, there would be no quick and easy gain, but there would be a sustainable wood supply, which all worked for (pay-off equals 10 points). If everyone were to cheat and do nothing, there would be no wasted effort, but no wood supply either (-10 points).

In the matrix below pay-offs are depicted as a function of individual choices to trust or to cheat.

		Person A	
		TRUST	**CHEAT**
Person B	**TRUST**	**A gets + 10** **B gets + 10**	**A gets 25** **B gets – 25**
	CHEAT	**A gets – 25** **B gets + 25**	**A gets – 10** **B gets – 10**

TASK
Form pairs and run a number of trials. Every trial consists of making a choice once, checking your partner's choice, and calculating respective pay-offs. After ten trials you calculate the overall result.

You then run a second version of the 'game' and now allow for discussion and negotiation between trials. Or instead of writing choices down, players take turns in announcing them openly first.

Discuss the results. Under what conditions are you more likely to trust?

Learning Points Review:

1. In social and resource dilemma situations, the apparently most rewarding individual choice leads to common loss.
2. Psychological factors need to be considered in order to solve social and resource dilemmas.

Suggestions for Further Reading

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