



UNIVERSITY OF NEWCASTLE UPON TYNE

Centre for Land Use and
Water Resources Research

Indian Institute of Technology Delhi

-a premier institute of India since 1963



Bridging the Research-Policy Gap in the Water & Forest Sectors, India: A Seminar, Delhi, January 2004



**John Young & Julius Court,
Overseas Development Institute, London**

Purpose and Outline

- Seminar Introduction & Self Introductions by Participants
- Introduction to the Water Project
- Share experiences about Research-policy processes in India
- Learn about the *Context: Evidence: Links Framework* for analysing research-policy processes
- Discussion: strengthening research-policy links in India
- Further Sources of Information & Closing

Definitions

- Research: *“any systematic effort to increase the stock of knowledge”* (NB: focus on science)
- Policy: *a “purposive course of action followed by an actor or set of actors”*
 - Agendas / policy horizons
 - Official statements documents
 - Patterns of spending
 - Implementation processes
 - Activities on the ground

Existing theory

1. Linear model
2. Percolation model, Weiss
3. Tipping point model, Gladwell
4. 'Context, evidence, links' framework, ODI
5. Policy narratives, Roe
6. Systems model (NSI)
7. External forces, Lindquist
8. 'Room for manoeuvre', Clay & Schaffer
9. 'Street level bureaucrats', Lipsky
10. Policy as social experiments, Rondinelli
11. Policy Streams & Windows, Kingdon
12. Disjointed incrementalism, Lindquist
13. The 'tipping point', Gladwell
14. Crisis model, Kuhn
15. 'Framework of possible thought', Chomsky
16. Variables for Credibility, Beach
17. The source is as important as content, Gladwell
18. Linear model of communication, Shannon
19. Interactive model,
20. Simple and surprising stories, Communication Theory
21. Provide solutions, Marketing Theory I
22. Find the right packaging, Marketing II
23. Elicit a response, Kottler
24. Translation of technology, Volkow
25. Epistemic communities
26. Policy communities
27. Advocacy coalitions etc, Pross
28. Negotiation through networks, Sebbattier
29. Shadow networks, Klickert
30. Chains of accountability, Fine
31. Communication for social change, Rockefeller
32. Wheels and webs, Chapman & Fisher

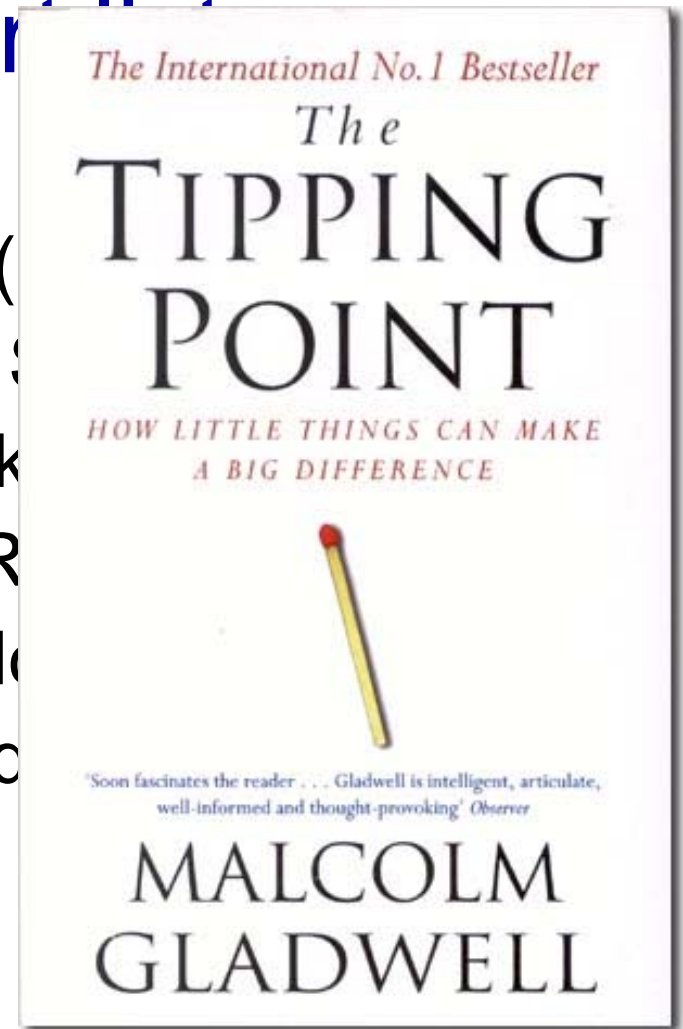
www.odi.org.uk/rapid/lessons/theory



Existing theory – a short list

- Policy narratives, Roe
- Systems of Innovation Model, (
- ‘Room for manoeuvre’, Clay & S
- ‘Street level bureaucrats’, Lipsk
- Policy as social experiments, R
- Policy streams and policy windo
- Disjointed Incrementalism, Linc
- **Social Epidemics, Gladwell**

ODI working paper 174, 2002, Hovland, de Vibe and Young
Bridging Research and Policy: An Annotated Bibliography.

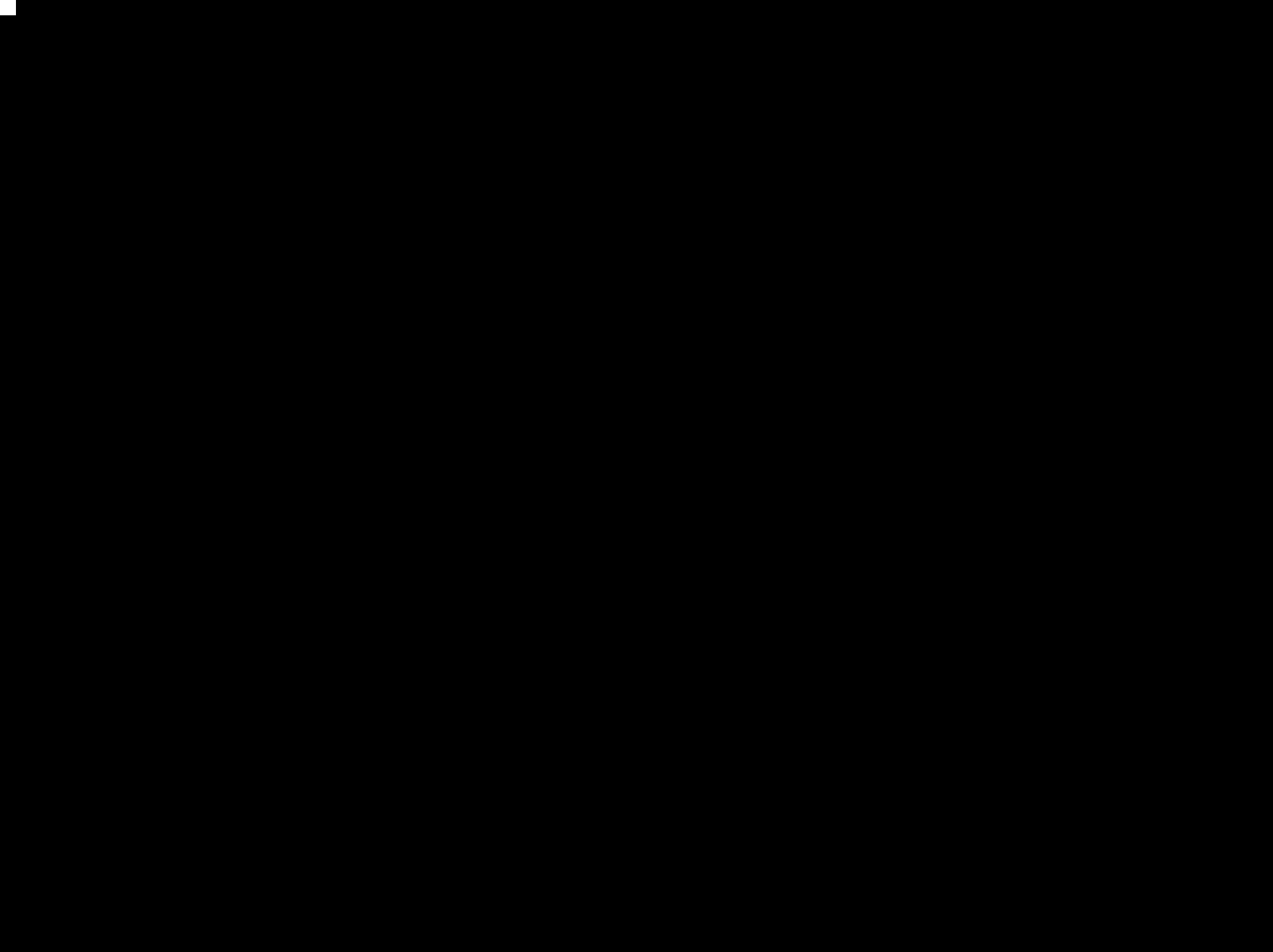


Reality

- Linear logical → dynamic, complex, two-way.
- *“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”¹*
- *“Most policy research on African agriculture is irrelevant to agricultural and overall economic policy in Africa”²*

¹ - Clay & Schaffer (1984), Room for Manoeuvre; An Exploration of Public Policy in Agricultural and Rural Development, Heineman Educational Books, London

² – Omamo (2003), Policy Research on African Agriculture: Trends, Gaps, and Challenges, International Service for National Agricultural Research (ISNAR) Research Report No 21





The Analytical Framework

External Influences

Socio-economic and cultural influences, donor policies etc

The **political context** –

political and economic structures and processes, culture, institutional pressures, incremental vs radical change etc.

The **links** between policy and research communities – networks, relationships, power, competing discourses, trust, knowledge etc.

The **evidence** – credibility, the degree it challenges received wisdom, research approaches and methodology, simplicity of the message, how it is packaged etc

Political Context: Key Areas

- The macro political context (democracy, governance, media freedom; academic freedom)
- The sector / issue process (*Policy uptake = demand – contestation*) [NB Demand: political and societal]
- How policymakers think (narratives & policy streams)
- Policy implementation and practice (bureaucracies, incentives, street level, room for manoeuvre, participatory approaches)
- Decisive moments in the policy process (policy processes, votes, policy windows and crises)
- Context is crucial, but you can maximize your chances

Evidence: Relevance and credibility

- Key factor – did it provide a solution to a problem?
- Relevance:
 - Topical relevance – What to do?
 - Operational usefulness – How to do it? :
- Credibility:
 - Research approach
 - Of researcher > of evidence itself
- Strenuous advocacy efforts are often needed
- Communication

Links: Feedback and Networks

- Feedback processes often prominent in successful cases.
- Trust & legitimacy
- Networks:
 - Epistemic communities
 - Policy networks
 - Advocacy coalitions
- The role of individuals: connectors, mavens and salesmen

External Influence

- Big “incentives” can spur evidence-based policy – e.g. EU accession, PRSP processes.
- And some interesting examples of donors trying new things re. supporting research
- But, we really don’t know whether and how donors can best promote use of evidence in policymaking (credibility vs backlash)

Framework: Key Questions for WLI

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Political Context: Key Questions for WLI

- What are the main policy issues in water and livelihoods policy in India?
- Who are the key players?
- What is the policy process – is it transparent and predictable?
- Are new policy directions implemented?
- What are the barriers to policy change?
- Which other political issues affect research-policy links?

Evidence: Key Questions for WLI

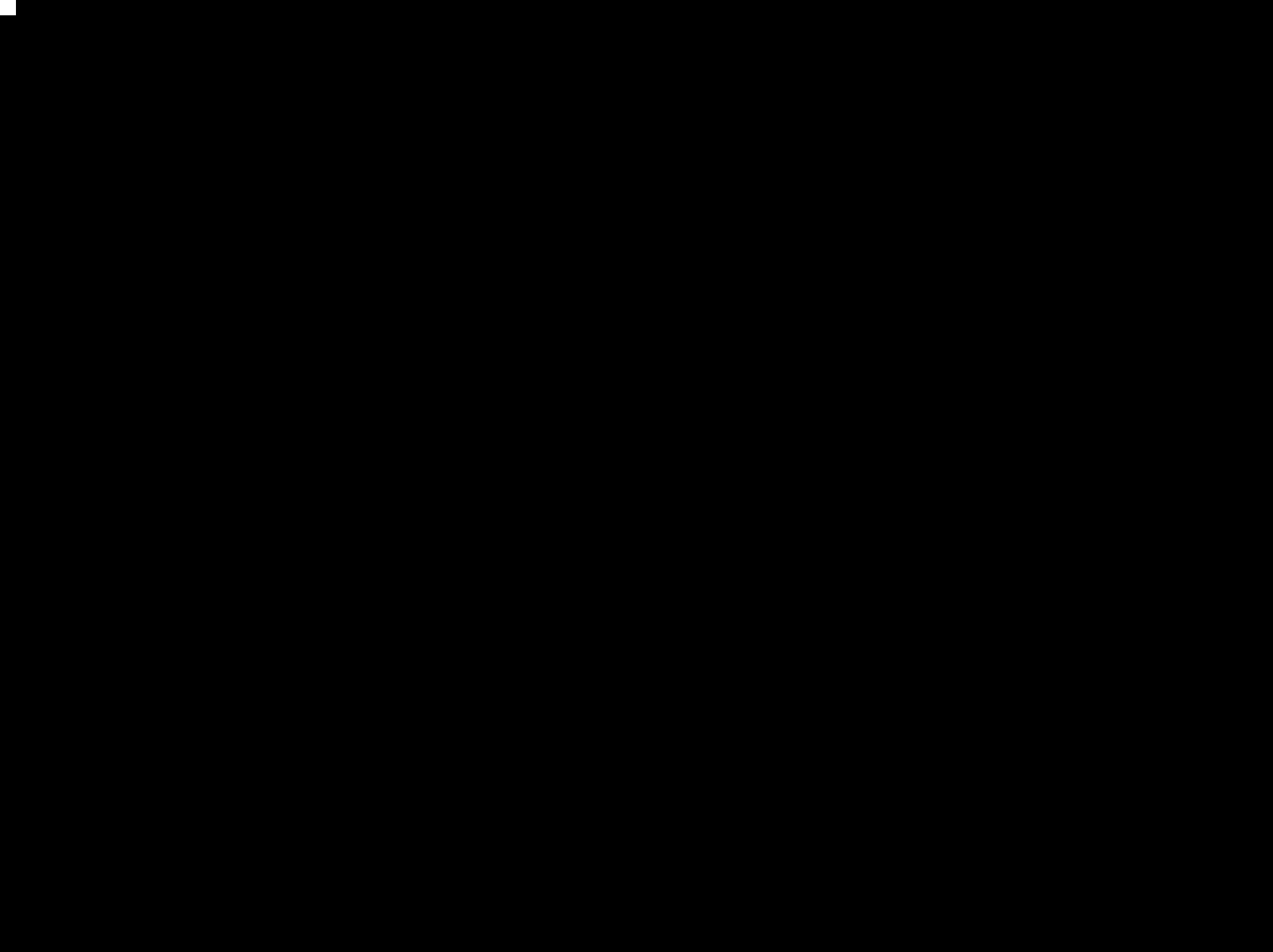
- What is the evidence to support better approaches?
- Is it credible?
- Is the evidence contested? Does the research community agree on the policy conclusions?
- Is it operationally useful?
- How do researchers communicate their results?
- What could be improved?
- What kind of evidence convinces policymakers in this area?

Links: Key Questions for WLI

- What types of intermediaries are involved in this sector (media, NGOs)?
- What is their impact?
- Do researchers use them?
- Are there different intermediaries in different areas?
- What networks are useful?
- How to build trust and legitimacy?

External Influences: WLI Key Questions

- What external influences affect research-policy links in the water sector in India?
- What is the impact of donor funding policies within the sector?
- Which donors have impact?
- How is donor-funded evidence viewed – by policymakers and by different groups within the local population (with suspicion or as credible)?





The Analytical Framework

External Influences

Socio-economic and cultural influences, donor policies etc

The **political context** –

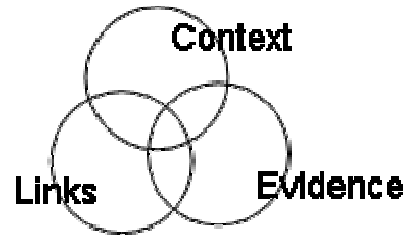
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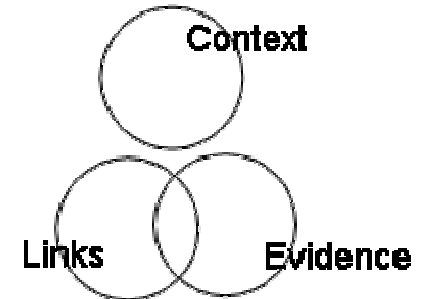
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Other models

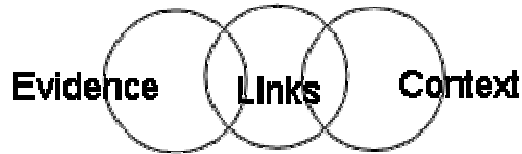
1. Ideal model



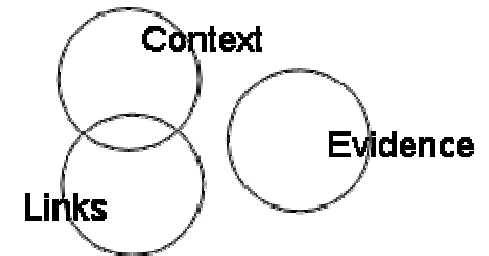
4. Technocratic model



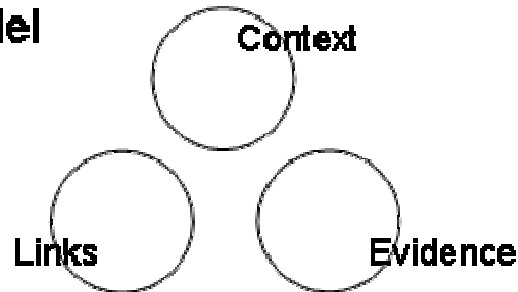
2. Daisy-chain model



5. Ivory tower model



3. Islands model





The Analytical Framework

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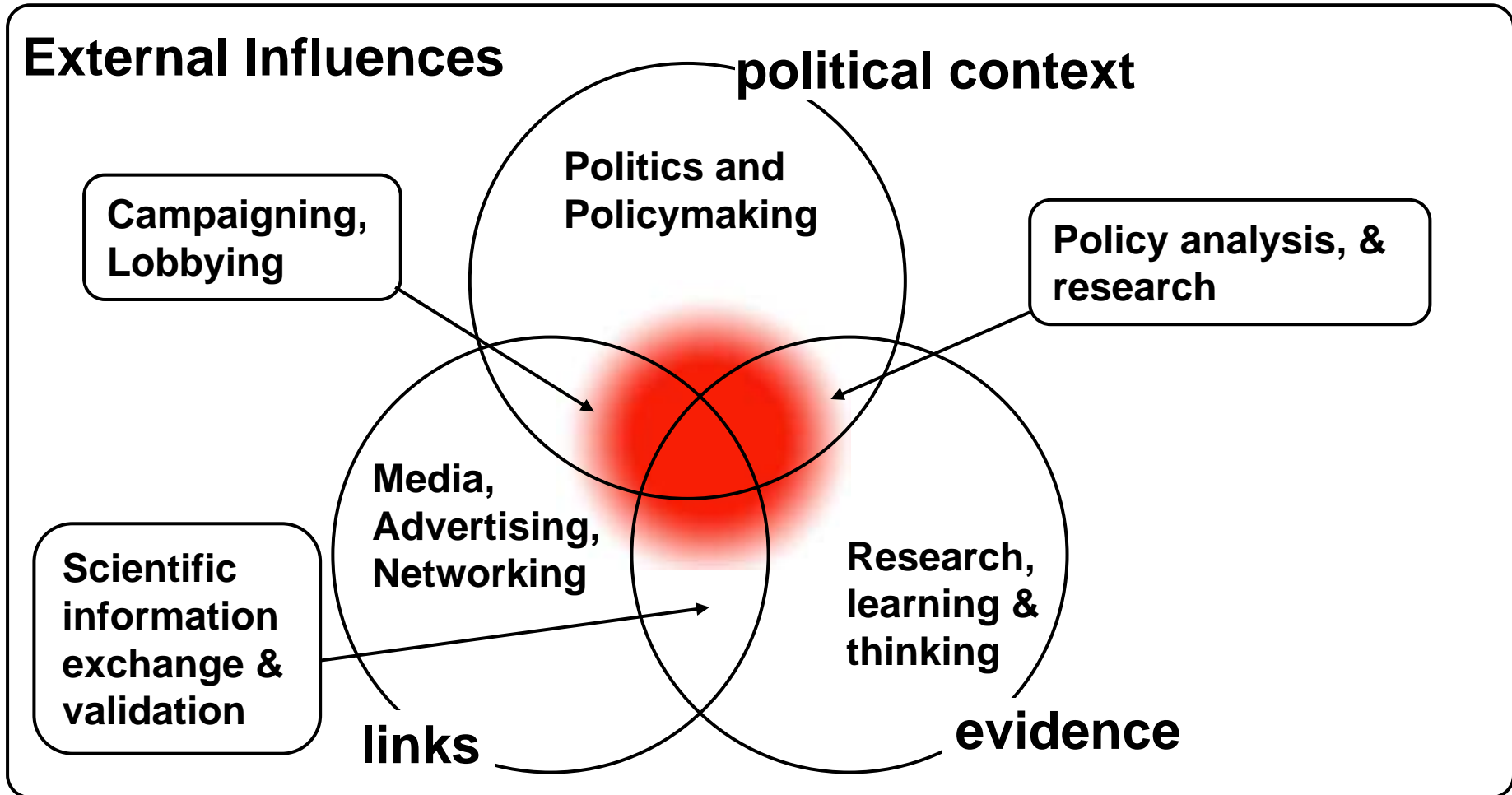
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A Practical Framework



Using the framework

- **The external environment:** Who are the key actors? What is their agenda? How do they influence the political context?
- **The political context:** Is there political interest in change? Is there room for manoeuvre? How do they perceive the problem?
- **The evidence:** Is it there? Is it relevant? Is it practically useful? Are the concepts familiar or new? Does it need re-packaging?
- **Links:** Who are the key individuals? Are there existing networks to use? How best to transfer the information? The media? Campaigns?

Putting it into practice

What researchers need to know	What researchers need to do	How to do it
Political Context: <ul style="list-style-type: none"> • Who are the policymakers? • Is there demand for ideas? • What is the policy process? 	<ul style="list-style-type: none"> • Get to know the policymakers. • Identify friends and foes. • Prepare for policy opportunities. • Look out for policy windows. 	<ul style="list-style-type: none"> • Work with them – seek commissions • Strategic opportunism – prepare for known events + resources for others
Evidence <ul style="list-style-type: none"> • What is the current theory? • What are the narratives? • How divergent is it? 	<ul style="list-style-type: none"> • Establish credibility • Provide practical solutions • Establish legitimacy. • Present clear options • Use familiar narratives. 	<ul style="list-style-type: none"> • Build a reputation • Action-research • Pilot projects to generate legitimacy • Good communication
Links <ul style="list-style-type: none"> • Who are the stakeholders? • What networks exist? • Who are the connectors, mavens and salesmen? 	<ul style="list-style-type: none"> • Get to know the others • Work through existing networks. • Build coalitions. • Build new policy networks. 	<ul style="list-style-type: none"> • Build partnerships. • Identify key networkers, mavens and salesmen. • Use informal contacts

Paravets in Kenya

- 1970s
 - Professionalisation of Public Services.
 - Structural Adjustment → collapse.
 - Paravet projects emerge.
- 1980s
 - ITDG projects.
 - Privatisation.
 - ITDG Paravet network.
- 1990s
 - Rapid spread in North.
 - KVB letter (January 1998).
- 2000s
 - Multistakeholder WSs → new policies.
 - Still not approved / passed!





Paravets in Kenya - political context

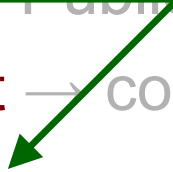
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Paravets in Kenya - Research

- 1970s - Professionalisation of public services.
- Structural Adjustment → collapse of services.
- Paravet projects emerge.
- 1980s - **ITDG projects. – collaborative action research.**
- Privatisation and change of DVS.
- ITDG Paravet network and change of DVS.
- 1990s - Rapid spread in North.
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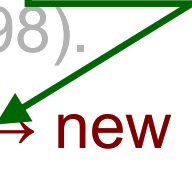
International Research



ITDG projects. – collaborative action research.



The Hubl Study



DELIVERI Project - Indonesia

- 5-year DFID-funded programme to make livestock service more responsive to the needs of the poor
- Action-research. 5 components:
 - Pilot projects
 - Institutional Development
 - HRD
 - Total Quality Management
 - Information & influence
- Astonishingly successful – why?



Success factors

- Designed for policy influence – at the right time.
- Approach – participatory action-research, with all stakeholders.
- Marketing / Communication strategy.
- Luck – economic crisis caused a political crisis.
- Ready to seize the policy window.
- Flexible, opportunistic.



Other sources of information:

Research and Policy in Development - Microsoft Internet Explorer

odi Research and Policy in Development

Home | Background | Themes | Lessons | Projects | Publications | Meetings | Bibliographies | Links | Staff | Contact | Search

Welcome to RAPID

Better utilization of research and evidence in development policy and practice can help save lives, reduce poverty and improve the quality of life. For example, the results of household disease surveys in rural Tanzania informed a process of health service reforms which contributed to a 28% reduction in infant mortality in two years. On the other hand, the HIV/AIDS crisis has deepened due to the reluctance of some governments to implement well-researched and proven control programmes. Although evidence clearly matters, there is no systematic understanding of when, how and why evidence informs policy.

ODI's Research and Policy in Development programme aims to improve the use of research in development policy and practice through improved knowledge about research-policy links, improved knowledge management and learning systems; improved communication; and improved awareness of the importance of research.

Click on the following links for more information on [lessons so far](#), [programme background](#), [current and past projects](#), [bibliographies](#), [other organisations](#) working on similar themes and [other ODI experience](#)

For more information contact John Young (j.young@odi.org.uk) or Julius Court (j.court@odi.org.uk)

Latest Updates

- Bridging Research and Policy Workshop, Delhi, January 2004
- Indonesia Research and Policy Workshop, Makassar Dec. 2003
- Bridging Research and Policy Workshop - ODI 8th October 2003
- ODI WFP/FAO Programme on ICD for rural development
 - A literature review on Research Communication
- Indonesia Research and Policy Seminar - ODI 9th October
- Japan-LIC Linkage Project
- A Review of Literature on Knowledge Management
- Policy Entrepreneurship - a self-assessment questionnaire
- Some Themes about Research Policy Links
- Forum for Food Security in Africa
- Support for On-Farm Biodiversity

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