CSOs, Evidence and Policy Influence
Learning Workshop

Workshop, Nairobi, 2\textsuperscript{nd} December, 2004
Outline of the Workshop

Registration
• Introductions
• Case Study and Key Issues

Coffee
• Groups & Feedback

Lunch
• Framework & Practical Tools
• Key Gaps for Future Work

Tea
• Groups & Feedback
• Close
Overseas Development Institute (ODI)

• Britain’s leading development Think Tank
• £8m, 60 researchers
• Research / Advice / Public Debate
• Rural / Humanitarian / Poverty & Aid / Economics (HIV, Human rights, Water)
• DFID, Parliament, WB, EC
• Civil Society

For more information see: www.odi.org.uk
RAPID Programme

• Research
  – Desk-based literature reviews
    • Bridging Research and Policy
    • Communications
    • Knowledge Management
  – GDN project:
    • 50 preliminary case studies
    • Phase II studies (25 projects)
  – ODI projects
    • 4 detailed case studies
    • HIV/AIDS

• Advisory work
• Workshops and seminars

www.odi.org.uk/rapid
Partnerships Programme

Aim:
Strengthened role of southern civil society organisations in development policy processes

Outcomes:
• Understanding how CSOs use research
• Regional capacity to support CSOs
• Improved information from ODI
• Global collaboration
Regional Capacity

- Ethical Principles of partnerships etc
- Mapping of CSO’s and organisations that support them
- Small-scale collaborations (internal)
- Regional Workshops
- Small-scale collaborations (external)
- Identification of long-term partners
- Support (and capacity-building)
- Collaboration on global projects
Self Introductions

1 minute!

• Name
• Organization
• Area of Work
Background

• CSOs increasingly being involved in policy processes (from service delivery).
• Move from challenging state / overall governance to policy engagement.
• But, engagement often doesn’t do justice to the breadth of evidence.
• Southern research capacity has been denuded.
• The credibility and legitimacy of CSO involvement is questioned.
• CSOs, researchers and policymakers seem to live in parallel universes.
The Opportunity

• The results of household disease surveys informed processes of health service reform which contributed to a 43 and 46 per cent reduction in infant mortality between 2000 and 2003 in two districts in rural Tanzania.

  – TEHIP Project
Objectives
To provide a forum to:
(a) discuss the opportunities and challenges for CSOs to use evidence to inform policy;
(b) learn about the latest worldwide research and practice in this area;
(c) share experiences about ongoing activities and what works;
(d) identify gaps for future work.
Energy Policy Case Study
How can CSOs promote pro-poor policy & practice in the African Energy Sector?
Africa - Energy Sector

- Energy use in many African countries dominated by biomass (wood, charcoal, bio residues)
- Low levels of access to modern energy services
- Pressing need for low-cost, small-scale, affordable and cleaner energy solutions for the poor
Should Have More Investment in Smaller and Renewable Energy Options

- Large-scale energy e.g. large-scale hydro
- Small scale renewable energy in solar, wind, biomass, etc
Expect Greater Use of Abundant Small-Scale Renewable Energy Resources in Africa

<table>
<thead>
<tr>
<th>Energy Resource</th>
<th>Resource Description</th>
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<tbody>
<tr>
<td>Solar</td>
<td>5-6 kWh/m²</td>
</tr>
<tr>
<td>Wind</td>
<td>3-5 m/s (higher in south &amp; north coastal areas)</td>
</tr>
<tr>
<td>Modern Biomass</td>
<td>Extensive</td>
</tr>
<tr>
<td>Hydro (Small)</td>
<td>Extensive</td>
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</tbody>
</table>
Current Energy Policy Focus on Conventional Large Scale Energy Investments

- Large-scale hydro and oil & gas investments
- Primarily benefit high income households, commercial/industrial sector & for export to industrialized countries
- Focus of national energy policy of many African countries including NEPAD (New Partnership for African Development)
- Few benefits flow to the poor in Africa
Energy sector capital budget shares (%) and total budget shares (million Birr) for Ethiopia, 1990-2000

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<tbody>
<tr>
<td>Traditional and alternative</td>
<td>14.2</td>
<td>5.9</td>
<td>4.0</td>
<td>4.1</td>
<td>10.5</td>
<td>0.7</td>
<td>0.5</td>
<td>0.5</td>
<td>0.4</td>
<td>0.5</td>
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<tr>
<td>Petroleum</td>
<td>21.8</td>
<td>19.8</td>
<td>20.1</td>
<td>16.9</td>
<td>5.5</td>
<td>36.1</td>
<td>81.0</td>
<td>93.2</td>
<td>94.3</td>
<td></td>
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<tr>
<td>Electricity</td>
<td>314.0</td>
<td>182.0</td>
<td>187.0</td>
<td>240.0</td>
<td>267.0</td>
<td>145.0</td>
<td>861.0</td>
<td>539.0</td>
<td>1,209.0</td>
<td>886.0</td>
</tr>
</tbody>
</table>
Current Energy Policy Promotes Inverse Energy Investment Pattern

Energy Needs

Energy Investment

Non-poor

Small-scale technologies

Poor

Large scale technologies
What Can CSOs Do To Influence Energy Policy/Investment Trends?

- How can one push for the needs of the poor in existing energy policy and investment patterns in Africa?
- Energy policy perceived as technical issue undertaken by small group of “experts” - how can the voice of the poor be raised?
- Similar pattern in:
  - *Transport sector*: Focus on highways but not on low cost transport options
  - *Agriculture sector*: Large-scale farming approaches vs small-scale agricultural solutions
  - *Health sector*: Large urban hospitals vs small scale rural health centres
  - *Industry*: Large scale industry vs SMEs/informal sector
Insights / Examples

– What advice do you have for the Energy Sector case?

– What do you do to promote pro-poor policy?

– What is your insight on how CSOs can help promote pro-poor policies?
What Did AFREPREN Do To Influence Energy Policy/Investment Trend?

• **Political context**: Flagship studies and projects in countries with strong pro-poor credentials (e.g. Mauritius experience with co-generation of electricity using sugar cane from small-holder farmers)

• **Evidence**: CBO participation/consultation, multiple country studies provide compelling evidence - policy makers averse to risk of being the first to try option (plan to try using evidence of early experience of South-East Asian NICs)

• **Links**: Joint government/academia/civil society studies, strengthening links with CBOs/trade union umbrella agencies and networks

• **External**: Johannesburg WSSD Conference, MDGs
Any clarifications?
CSOs, Evidence and Policy Processes
CSOs: Definitions and Functions

• **Definition:** “organizations that work in an arena between the household, the private sector and the state to negotiate matters of public concern”.

• **Functions:**
  – representation
  – technical inputs and advocacy
  – capacity-building
  – service-delivery
  – social functions
Definitions

• **Research:** “any systematic effort to increase the stock of knowledge”

• **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
Generic Policy Processes

1. Problem Definition/Agenda Setting
2. Constructing the Policy Alternatives/Policy Formulation
3. Choice of Solution/Selection of Preferred Policy Option
4. Policy Design
5. Policy Implementation and Monitoring
6. Evaluation

The Policy Cycle
# Existing theory – useful in DCs?

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, Communication Theory**
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, Sebattier**
29. **Shadow networks, Klickert**
30. **Chains of accountability, Fine**
31. **Communication for social change, Rockefeller**
32. **Wheels and webs, Chapman & Fisher**
33. **National Systems of Innovation**

Reality…

• “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”

• “Most policy research on African agriculture is irrelevant to agricultural and overall economic policy in Africa”

• “policymakers “seem to regard ‘research’ as the opposite of ‘action’ rather than the opposite of ‘ignorance’.”

1 - Clay & Schaffer (1984)
Reality II … Parallel Universes?

Vincent Cable – MP on legislators & use of evidence:

- Speed
- Superficiality
- Spin
- Secrecy
- Scientific Ignorance

More at: [www.odi.org.uk/RAPID/Meetings/Evidence](http://www.odi.org.uk/RAPID/Meetings/Evidence)
Any Clarifications or Questions?
Discussion & Group Work
Group Task 1: CSOs, policy & evidence in East Africa

• What do you do to promote pro-poor policy? Share examples of Success and Failure

• What are the key factors affecting …
  – The impact of your work?
  – CSOs, policy & evidence in E. Africa?

• What is your insight on how CSOs can use evidence to promote pro-poor policies?

Please find a volunteer to take notes!
Feedback:
CSOs, policy & evidence in East Africa

• What do you do to promote pro-poor policy? Share examples of Success and Failure

• What are the key factors affecting …
  – The impact of your work?
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• What is your insight on how CSOs can use evidence to promote pro-poor policies?
An 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. Power.]
- 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, champions.
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)
Conclusions

• Research is essential but…

• Other work is needed to ensure it contributes to the development and implementation.

• Clear lessons about how are emerging:
  – Political context is crucial – understand it to maximize your chances
  – Figure out what evidence is needed and how to package it for policy makers
  – Collaborate with other actors
Discussion
Practical Framework & Tools
The Analytical Framework

External Influences
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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.
A Practical Framework

External Influences

- Campaigning, Lobbying
- Media, Advocacy, Networking
- Scientific Information exchange & validation

Politics and Policymaking

- Political context
- Policy analysis, & research
- Research, learning & thinking

Links

- evidence

- Social network
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?
# What researchers need to do

<table>
<thead>
<tr>
<th>Political Context:</th>
<th>What researchers need to do</th>
<th>How to do it</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Who are the policymakers?</td>
<td>• Get to know the policymakers</td>
<td>• Work with them – seek commissions</td>
</tr>
<tr>
<td>• Is there demand for ideas?</td>
<td>• Identify friends and foes.</td>
<td>• Strategic opportunism – prepare for known events + resources for others</td>
</tr>
<tr>
<td>• What is the policy process?</td>
<td>• Prepare for policy opportunities.</td>
<td></td>
</tr>
<tr>
<td>Evidence</td>
<td>• Look out for policy windows.</td>
<td></td>
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<tr>
<td>• What is the current theory?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• What are the narratives?</td>
<td>• Establish credibility</td>
<td>• Build a reputation</td>
</tr>
<tr>
<td>• How divergent is it?</td>
<td>• Provide practical solutions</td>
<td>• Action-research</td>
</tr>
<tr>
<td>Links</td>
<td>• Establish legitimacy</td>
<td>• Pilot projects to generate legitimacy</td>
</tr>
<tr>
<td>• Who are the stakeholders?</td>
<td>• Present clear options</td>
<td>• Good communication</td>
</tr>
<tr>
<td>• What networks exist?</td>
<td>• Use familiar narratives</td>
<td></td>
</tr>
<tr>
<td>• Who are the connectors, mavens and salesmen?</td>
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<tr>
<td></td>
<td>Get to know the others</td>
<td>• Build partnerships.</td>
</tr>
<tr>
<td></td>
<td>• Work through existing networks.</td>
<td>• Identify key networkers, mavens and salesmen.</td>
</tr>
<tr>
<td></td>
<td>• Build coalitions.</td>
<td>• Use informal contacts</td>
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<tr>
<td></td>
<td>• Build new policy networks.</td>
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**What researchers need to know**

- Political Context:
  - Who are the policymakers?
  - Is there demand for ideas?
  - What is the policy process?

- Evidence:
  - What is the current theory?
  - What are the narratives?
  - How divergent is it?

- Links:
  - Who are the stakeholders?
  - What networks exist?
  - Who are the connectors, mavens and salesmen?
Skills of (pro-poor) policy entrepreneurs

- Storytellers
- Engineers
- Networkers
- Fixers
Practical Tools

**Overarching Tools**
- The RAPID Framework
- Using the Framework
- The Entrepreneurship Questionnaire

**Communication Tools**
- Communications Strategy
- SWOT analysis
- Message Design
- Making use of the media

**Policy Influence Tools**
- Influence Mapping & Power Mapping
- Lobbying and Advocacy
- Campaigning: A Simple Guide
- Competency self-assessment

**Context Assessment Tools**
- Stakeholder Analysis
- Forcefield Analysis
- Writeshops
- Policy Mapping
- Political Context Mapping

**Research Tools**
- Case Studies
- Episode Studies
- Surveys
- Bibliometric Analysis
- Focus Group Discussion
Outcome Mapping

- Focuses on changes in behaviour
- How programs facilitate change
- Recognizes the complexity of development
- Looks at logical rather than causal links
- Locates program goals within broader development goals
- Encourages innovation and risk-taking necessary
- All staff and partners are involved throughout
### Mapping Policy Processes

<table>
<thead>
<tr>
<th></th>
<th>Agendas</th>
<th>Formulation</th>
<th>Implementation</th>
</tr>
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<tbody>
<tr>
<td>Central Government</td>
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<tr>
<td>Parliament</td>
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<tr>
<td>Bureaucrats</td>
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<tr>
<td>Civil Society</td>
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<tr>
<td>State Government</td>
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<td>Implementation</td>
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<tr>
<td>Civil Society</td>
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Political Context Assessment Tool

- The macro political context
- The sector / issue process
- Policy implementation and practice
- Decisive moments in the policy process
- How policymakers think

<table>
<thead>
<tr>
<th>(e.g. from Middle East) Interests</th>
<th>Extent of Interests of Policymakers</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>High</td>
</tr>
<tr>
<td>Public Interests</td>
<td>1</td>
</tr>
<tr>
<td>Personal Interests</td>
<td>5</td>
</tr>
<tr>
<td>Special Interests</td>
<td>6</td>
</tr>
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</table>
Forcefield Analysis

**Force Field Analysis Example**

**Forces For Change**

4. Customers want new products
2. Improve speed of production
3.Raise volumes of output
1. Maintenance costs increasing

**Plan:**
Upgrade factory with new manufacturing machinery

**Forces Against Change**

3. Loss of staff overtime
2. Staff frightened of new technology
1. Environmental impact of new techniques
1. Cost
1. Disruption

- Specific Change
- Identify Forces
- (Identify Priorities)
- (Develop Strategies)
Communications strategy

- Identify the audience(s)
- Identify the message(s)
- Promotion
- Evaluate impact and change as necessary
- Clear Strategy
  - Interactive
  - Multiple formats
Practical Tools

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- Focus Group Discussion
Implications for CSOs

• Need to be able to:
  – Understand the political context
  – Do credible research
  – Communicate effectively
  – Work with others

• Need organisational capacity
  – Staff
  – Internal processes
  – Funds
Managing Think Tanks

- Type, Focus and Niche
- Staff and Motivation
- Quality Control
- Communication
- Getting the most from your board
- Fund-raising
- Financial Management

(surprisingly little on policy influence in different contexts)

[Source: Struyk, 2002]
Networks

• Roles of Policy Networks
  – Filtering
  – Amplifying
  – Investor / Provider
  – Facilitator
  – Convening
  – Communities

• Policy Code Sharing

• Some networks net; some networks work.
Discussion & Group Work
Group Task 2: Needs and Future Work

• What would help you influence policy more?
  – More research.
  – What capacity building efforts would help?
  – Would networking initiatives help?
  – International collaborative policy influence?
  – What else?
  – What is value added of ODI in this area?

• Please find a volunteer to take notes!
Further Information / Resources

- ODI Working Papers
- Bridging Research and Policy Book
- Meeting series Monograph
- Tools for Policy Impact
- RAPID Briefing Paper
- RAPID CDROM
- www.odi.org.uk/rapid
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