ELEMENTS OF INSTITUTIONAL CHANGE

As the environment steadily deteriorates and global competition becomes the norm, small farmers are faced with serious challenges to productivity, self-reliance and sustainability. PTD offers a way out by marshaling the capacities of farmers and rural communities to innovate and by pairing them up with research and extension services, as well as helping them access resources to support their efforts. To advance PTD development and implementation beyond the project framework and to ensure that it goes to scale, an institutional base must be created. Institutionalization, or the task of incorporating PTD into regular agriculture activities, differs depending on the setting (e.g. government agricultural research agency, government extension, NGO networks, farmer organizations).

Groverman (2000) shows that in complex institutional change processes, one has to looked at the mission and mandate of the organization, the structure and human resources not just at a technical-administrative level but also at a political (power and decision making) and sociocultural level (norms and values). The complexity of institutional change was discussed at various points during the five-day workshop and a matrix was arrived at (see below).

The following sections summarizes the elements of institutional change (derived at the workshop) to accommodate PTD principles and practices. It considers the technical, socio-political and cultural dimensions of organizations and suggests the type of operations, mission, tasks, structure and expertise that will be necessary to support this institutional change.

Administration: The Nuts and Bolts

Organizations need to define their role or "niche" in PTD. Starting from their mission mandates, this self-visioning is to be mirrored in their structures, operations, and human resource development. Opportunities for this shift are present in the course of decentralization in many countries where individual research centers are given increased freedom in planning and implementing research. At the same time, they are challenged to raise research funds, making them potentially open to the needs and interests of other actors. Civil society actors could seize this opening considering new critical collaboration with government and political actors as an essential strategy.

Farmers and other grassroot groups will have real involvement in research planning and budgeting, monitoring and evaluation, thus increasing the accountability of research towards these stakeholders. A review of roles and responsibilities in research, extension and farmer organizations is indicated.

Technical/Administrative Elements				
Mission Mandate	**Operations**	**Task Responsibilities**	**Structure**	**Expertise**
• Search for opportunities to practice participatory planning, implementation and M&E throughout the organization. • Set-up mechanism for participatory internal M&E evaluation of institutional change.	• Planning Implementation Mechanisms • Include PTD process issues in M&E formats • Financial investments on PTD institutionalisation	• Institutionalization: change in institutions so they can take on PTD. • Systems, process and structures for institutionalizing PTD • Need for special PTD unit? Contact persons?	• Establishment of consortia of donors and their partners to foster cross-institutional learning and reduce competition • Specific mechanisms for institutionalizing processes • Learning from precious institution change experiences (e.g., gender, FSR) do not establish a special unit	• Capacity building farmers, research and extensionists • Capacity-building for institutionalizing PTD - what competencies do? • Training in new ways for working • Sequential PTD training and coaching strategy

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Mission Mandate	Operations	Task Responsibilities	Structure	Expertise
• Identifying organizational 'niches' in PTD • Be aware that costs are involved in "change processes" • Costs may not be known and may be hard to calculate. • Plan for those costs, including partnership transaction costs, etc • Access/ sourcing of funds external (if possible), but more importantly internal funds, including re-allocation of existing funds.	• Financial resources Cost of change	• Facilitation of links: whole role? • Who will manage peer-exchange at all levels systemic learning	"separate" for PTD • Annual review and planning and specific review of farmer participation • Internal staff seminars • Informal meetings • Actively searching for other experiences to institut-ionalizing PTD • Feed back/ share experiences w/ other colleagues within our institutions • Deliberately search for opportunities to invite other institutions in order to share and learn from each other's experiences • Identify teams or task forces for institution-alizing PTD (and for doing PTD, per se)	• Creating will and ability in formal organizations to listen to farmers' voice

A variety of internal mechanisms can be used, adapted or newly developed to encourage PTD and its institutionalization. Training and coaching of research and extension staff and farmers, is required to level off expectations and retool across the board to create the will and the capacity to work cooperatively with other groups.

The Power Game

PTD is about turf, resource allocation, and people, and therefore power. Particularly because institutionalization is related to scaling up and therefore the widening of spheres of influence, it is an arena of political struggles. The power game at the highest level of a research organization revolves around the issues of formulating research policy and how influence is exerted both from within and outside it. A key issue is the control of funds, a multi-dimensional struggle that could involve various levels within the research organization, donors, farmer organizations and politicians.

In this context, stakeholders do well to build partnerships and networks to influence policy makers. Participatory staff supervision in research centers, consultations and shared decision-making assume greater importance. Even after policies are changed, there will still be the need to monitor the progress

Political/Power Elements		
Policy Making	**Regular Decision Making**	**Room for Maneuver**
• Whoever funds PTD will own it? Who should it be? How? • Who wins/loses power? • Acceptance of losersq Support from policy makers • Support from high management for PTD • Identifying allies (tapping on their support) and PTD "opposition" (dealing with them if they are too strong to block PTD advancement)	• Introduce participatory staff supervision mechanisms • Pressure from farmers through strengthened voice in research decision-making	• What motivates staff to be involved in PTD? • Incentives for change? • How to sustain poor farmers' innovations? • How to set-up sustainable local innovation funds?

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Policy Making	Regular Decision Making	Room for Maneuver
- Farmers' organizations (WA) exercise influence on policy of R&D institutes - Working at the top - Coordinating body "chaired" by key decision-maker - Creating awareness of specific field experiences and results - Field visits for policy-makers to "see" and "listen" - Feeding "field experiences" into regular planning and review meetings or strategic eventsq Including policy-makers in international meetings or workshops (invitation of learn and participate) - Use of 'policy briefs' with both concepts and practices of PTD - Working from "bottom" - Field level or local administration to create: 1) examples of PTD and 2) "pressure" from below for change - Importance of building partnerships to influence policy-setting - Once policy is changed, many need to have a "watchdog" function to monitor progress of policy implementation - Strategic distribution of "easy to read" newsletters and books on PTD - Invite policy-makers to give opening content statements or messages to workshops and meetings - Identify existing policy and demonstrate how PTD can contribute to achieve the policy aims	- Passage of local ordinances in support of PTD: financial, technical and logistical - Convince policy-makers on the need for farmers' voices in decision-making for research priorities (could also involve development NGOs, at least initially and as necessary)	- Create outlets for publications of experiences (local and international) - Cross-visits, staff exchanges, study programs to visit and learn from other experiences within and across countries/regions. - Awards for local innovation or exemplary work, e.g., community work, local, govt. etc. - Explore opportunities for local government to play a role to support PTD at local levels

of implementation and to reward those adopting the new norms and behavior.

Norms, values and attitudes

Norms and values related to mission and mandate refer to concerns for poverty reduction and the elimination of hunger, relevance of technological innovation to the needs of the poor and the environment as opposed to the conventional norm that science is good if it generates technologies that "work" without specifying for whom or with what external effects. Norms and values supportive of effective PTD include the acceptance that problem solving in agriculture as within the organization itself, needs contributions from all involved, that no one knows everything, that listening and probing are skills that are important as or even more important than lecturing. Facilitators of efforts to institutionalize PTD would do well to link up with experiences of sociocultural change in organizations related to other concerns (e.g. gender mainstreaming) or obtained from other sectors.

	Organizational Culture	Cooperation Learning	Attitudinal Change
Socio Cultural Level	• Understanding social/cultural issues • Managers of research encourage and reward innovators • Overcoming opposition to this "unscientific" process of PTD • Inputs from Group 10/15 • Inputs from Group 3	• Norm that everybody has relevant contribution to make • Inputs from Group • Deliberately plan opportunities for cooperation - both within the organization, and with other organizations • Seek to ensure funding for cooperation - donor funds, internal fund sharing.	• Creating situations to cultivate mutual respect • Changing attitudes of policymakers • Changing attitudes toward participatory processes • Researcher and extension worker become a facilitator • Internal staff seminars to discuss/analyze: What does this mean to us? • Creative approaches to exposing policy-maker to farmer realities and benefactors of PTD (study program, field day, guests, s/p) • Inputs from Group 10/15

Respect for the value of knowledge and experience of farmers and extension agents combined with a more modest view of the value of researcher knowledge and experience is crucial in PTD. Situations need to be created to cultivate mutual respect.

The workshop also elaborated on the following processes and approaches to institutionalization: lobbying and campaigning, policy formulation and planning, monitoring and evaluation of institutionalization.

	Process and Approach/ Institutionalisation	Basic Overall Institutionalisation Issues	External Conditions
Lobbying and Campaigning	• Informal formal ways/ methods • Clear demonstration of benefit to farmers • Use PTD success stories for advocacy of an enabling policy for PTD • Did PTD really lead to technology development? • Expensive - although results are better? Need to motivate expenses/costs • Influence research and education institutions	• Institutionalize from start of projects • Institutionalize technologies or PTD approach? • Prevent creating new PTD institutions? • Using non-participatory means of scaling up PTD • Dualistic PTD conventional approaches • "Institutionalize" collaboration between key actors (PTD and institutionalization) • Need for link working organization • Guiding principles for institutionalization • Intellectual property/ public/good • Milestones/phases for institutionalizing PTD • Ownership issues "heightened" during the institution-alization process	• Globalisation and regional integration

	Process and Approach/ Institutionalisation	**Basic Overall Institutionalisation Issues**	**External Conditions**
Policy Formulation Planning	• Who to involve in planning for institutional change? • Make use of opportunities and flexibility • Watch out: Too much structuring of the PTD process • Platforms for negotiation between actor groups • Need for a long timeframe		
Monitoring Evaluation of Institu- tionalization	• Criteria for success of institutionalizationq Indicators of institutionalization process • Documentation and report writing • Quality of PTD activities • How to deal with "quality" control when PTD is scaled up.		

The matrix merely shows the bones of institutionalization, it is in the field where it lives in the flesh and where its heart beats. Confronting obstacles, grappling with issues, celebrating lessons, PTD partners around the world know that the path ahead must be traversed if food is to be secured for all, development is to be sustainable and natural resources conserved, and if all people, regardless of gender, caste and class can live fully.