

PROLINNOVA

Kenya

PROMoting Local INNOVation
in ecologically-oriented agriculture and natural resource management

WORKSHOP REPORT

PROLINNOVA (KENYA) POLICY INFLUENCING WORKSHOP

19th – 20th May, 2011, Nairobi Kenya



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(June, 2011)

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EXECUTIVE SUMMARY

1.0 Introduction

PROLINNOVA (Kenya) initiated in January 2007 is a platform (network) through which farmers, researchers, development agents, entrepreneurs and policy makers share experiences and lessons to promote and sustain local innovation. The overall goal of the initiative is to enhance the capacities of farmers to innovate and develop appropriate systems of resource management to achieve food security, sustain their livelihoods and safeguard the environment while taking cognizance of the dynamics of indigenous knowledge.

A National Steering Committee (NSC) is in place to oversee the operation of PROLINNOVA (Kenya). The Committee is comprised of representatives from the following organizations: World Neighbors, Participatory Ecological Land Use Management – PELUM-Kenya, Resource Oriented Development Initiative (RODI Kenya), Sustainable Agriculture Centre for research, Extension and Development in Africa (SACRED Africa), Jomo Kenyatta University of Agriculture and Technology –JKUAT, Kenya Agricultural Research Institute (KARI), Sustainable Agriculture Community Development Programme - SACDEP Kenya, KENDAT and ETC-East Africa. However, the network is comprised of other partners including, the academia (University of Nairobi, Moi, Masinde Muliro, & Egerton Universities), Ministry of Agriculture, farmers and NGO's and membership is still open to interested organizations. Among the activities of the NSC is policy lobbying and advocacy and it is against this backdrop that this workshop on Policy Influencing was organized.

2.0 Workshop Participants and Approach

The PROLINNOVA Kenya Policy influencing workshop was held on 19th -20th May 2011, at Agriculture Information Centre (AIC), Nairobi. The workshop was attended by 21 participants from various institutions including the civil society, academia, research, farmer innovators, and government sectors. Dr. Felister Makini, Deputy Director Outreach and Partnerships- KARI, opened the Workshop and were honoured to have Dr. Bell Okello, Chairman-National Steering Committee, Prolinnova Kenya for the closing ceremony.

The Workshop was facilitated by Dr. Antony M. Kilewe of *Topridas Consultancy Services*, and was designed to take the participants through a participatory step-by-step process of sharing, reviewing, discussing, practical experiences with policy influencing drawing lessons, and developing a consensus on a strategy/action plan for main streaming and influencing policy within the PROLINNOVA Kenya network member institutions and the wider agricultural sector.

To ensure effective delivery of the expected outputs, the workshop adopted a hands-on approach with a logical combination of brief plenary introductory presentations, discussion

group sessions and plenary feedback and consensus building sessions. The plenary introductory presentations were attended by all the participants in a plenary set-up. The participants then split into groups to deliberate on the assigned tasks as per the discussion group terms of reference.

3.0 Workshop Purpose and Expected Outputs

The purpose for the PROLINNOVA (Kenya) Policy Influencing Workshop is to strengthen the capacity of the participants and PROLINNOVA network members for influencing policy within their institutions and the wider agricultural sector. The workshop purpose was delivered by the following necessary and sufficient outputs:

- The overview of PROLINNOVA (Kenya) Network mandate, objectives, achievements and management arrangements **presented, discussed and understood.**
- The theory of policy and policy influencing strategies **presented, discussed and understood.**
- Practical experiences with policy influencing, strengths and weaknesses and lessons learned, and potential policies that PROLINNOVA (Kenya) may wish to influence **reviewed, discussed and agreed upon.**
- The policy influencing strategy development steps, their main components and tools **reviewed, discussed and agreed upon.**
- Strategy/Action plan for main streaming and influencing policy within the PROLINNOVA (Kenya) network member's institutions and the wider agricultural sector **reviewed, discussed and developed.**
- The workshop overall way forward **reviewed, discussed and agreed upon.**

During the meeting, the following guiding presentations with a bearing on innovations were made by various by facilitators from various institutions:

- **Overview of PROLINNOVA (Kenya) Network** mandate, objectives, achievements and management arrangements
- **Theory of policy:** - (What is policy, how is it developed, how is policy implemented , What is the process of formulating and implementing policy; What/who has an influence on it?).
- **Policy influencing strategies:** (What is policy influencing? ; What are the strategies for influencing policy?; What is the role of civil society and other stakeholders?).
- **Management of Intellectual Property in innovation processes.**
- **Current status of the Science, Technology & Innovation Bill in Kenya.**
- **Defining the Policy Issues-** (What is the exact problem?; where are the bottlenecks; why is the issue raised seen as a problem; what is behind the problem mentioned; is it related to policy formulation or implementation, (Re-) Define objective of the policy advocacy/dialogue).

- **Policy context** - (Who controls these policies? What are the key entry points? Is the policy political, ideological or technical? Is it a national, regional or local concern? Who could be your allies? Who will be against the changes suggested?).

4.0 Action Plan and Way forward

The meeting had two discussion group sessions and plenary feedback sessions with clear terms of reference aimed at delivering the following four key outputs of the workshop. The group discussion resulted in the development of a draft policy influencing strategy/action plan. In a plenary discussion that followed it was agreed that there is need to look at PK in terms of enhancing taking it to an upper level in policy advocacy. This includes re-evaluating the mandate, core functions, organizational & management structures and membership of PK. In turn this will enable us define our scope and development of strategies and activities within a given time frame and allowing implementation to be done in phases. In relation to activities, it was suggested that the best way of doing that could be:

- A situation analysis, paying attention to policies issues both at institution level and national policies
- Development of the interventions to address the gaps
- Rolling out the inventions
- Monitoring and evaluation at all levels to bring out lessons learnt

It was also agreed that there is need to include as many network institutions as possible as policy issues are broad and cannot be handled by one person or institution. The inventory that is currently ongoing is very important and could include all types of innovations. In addition it was agreed that:-

- each of the institutions represented should undertake an inventory of their policies and programmes to identify whether there are favorable to local innovation.
- there is need to sensitize the ten sector ministries and departments in the agricultural sector and other relevant institutions on PK.
- there is need to look at who is important for PK, what they know and what do we want to tell them about PK.
- there is need to embrace public private partnerships (PPP) where stakeholders can actually support participation in such meetings and other activities.
- a list serve of the workshop participants is established for continued communication on innovation.

1.0 BACKGROUND

1.1 Introduction

PROLINNOVA (Kenya) initiated in January 2007 is a platform (network) through which farmers, researchers, development agents, entrepreneurs and policy makers share experiences and lessons to promote and sustain local innovation. The overall goal of the initiative is to enhance the capacities of farmers to innovate and develop appropriate systems of resource management to achieve food security, sustain their livelihoods and safeguard the environment while taking cognizance of the dynamics of indigenous knowledge. The objectives of PROLINNOVA (Kenya) are to:

1. Build the capacity of stakeholders in agricultural research and development in local innovations using participatory approaches;
2. Develop a strategy on advocacy and lobbying in order to create awareness among stakeholders on local innovation;
3. Create and strengthen partnerships between stakeholders (i.e. farmers, development agents and research institutions) to refine local innovations and encourage their use;
4. Set-up multi-stakeholder platforms for reflection, analysis and learning about promoting local innovations, in-country experience, strengths and weaknesses in developing and promoting local initiatives in Kenya;
5. Develop inventory and database of existing local innovations, innovators and partner organisations in Kenya;
6. Develop a framework through which monitoring and evaluation of the local innovations can be done, so as to validate already existing innovations.

A National Steering Committee (NSC) is in place to oversee the operation of PROLINNOVA (Kenya). The Committee is comprised of representatives from the following organizations: World Neighbours, Participatory Ecological Land Use Management – PELUM-Kenya, Resource Oriented Development Initiative (RODI Kenya), Sustainable Agriculture Centre for research, Extension and Development in Africa (SACRED Africa), Jomo Kenyatta University of Agriculture and Technology –JKUAT, Kenya Agricultural Research Institute (KARI), Sustainable Agriculture Community Development Programme - SACDEP Kenya, KENDAT and ETC-East Africa. However, the network is comprised of other partners including, the academia (University of Nairobi, Moi, Masinde Muliro, & Egerton Universities), Ministry of Agriculture, farmers and NGO’s and membership is still open to interested organizations. Among the activities of the NSC is policy lobbying and advocacy and it is against this backdrop that this workshop on Policy Influencing was organized.

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To ensure effective delivery of the expected outputs, the workshop adopted a hands-on approach with a logical combination of brief plenary introductory presentations, discussion group sessions and plenary feedback and consensus building sessions. The plenary introductory presentations were attended by all the participants in a plenary set-up. The participants then split into groups to deliberate on the assigned tasks as per the discussion group terms of reference. The meeting programme was as shown in Annex 2.

1.3 Workshop Purpose and Expected Outputs

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1.4 Participants Workshop Expectation

The following were highlighted as what the participants additionally expected from the workshop:

- Guideline on the operationalization of the Local Steering Committee (LSC), opening up of bank accounts, formal registration, communication networks and feedback, modalities of funding, and highlights and more elaboration M & E template.
- The issue of linkages between different stakeholders and actors in local innovations is discussed, as policy does not touch on a single aspect, who owns its?
- Information on how farmer's innovation can be patented at a lower cost.
- Indications of policies which are not enabling and hinder effective functions in promoting local innovation.

1.5 Workshop Opening Remarks

On behalf of the Prolonnova Kenya National Steering Committee, Ms Violet Kirigua welcomed the participants to the Workshop. She said that she was happy that the Workshop was finally being held after being postponed on several occasions due to unavoidable circumstances. She said that this initiative on promoting local innovation was started over two years ago and is gradually gaining acceptance and hoped that soon many institution will recognize the importance of investing in the idea of promoting local innovation. She then invited Dr. Felister Makini, the Deputy Director-Outreach and Partnership, KARI to give her meeting opening remarks.

Dr. Makini said she was privileged to open the Workshop, and was glad to see many organization represented as her Department deals with Partnerships. She said era of the value chains partnerships were important, as we realize that no institution has the comparative advantage in bring about change or enhance competitiveness in the agricultural sector. She was glad that this initiative on promoting local innovations, has embrace the local indigenous technologies and knowledge (ITKs) which had earlier been ignored by the formal research process, yet they have the potential to address issues of food security which is currently the country's focus. Dr Makini said we needed all assistance to improve food security, and if this can be done by promoting local innovation among other strategies, then it should be adopted. However, she noted the current polices may not accommodate this scenario, as most policies were developed taking cognizance of the formal research done by the academia and public institutions.

She said she was glad for such a multi-stakeholder forum, as it was forums like that could advocate for right policies that can promote local innovations. This cannot be done by single institutions but concerted efforts of all stakeholders. Dr. Makini said many of the local innovators have gone unnoticed and their innovations have not benefited others in the communities and that this was a scenario that should be discouraged. She said the country needs to create an environment that promotes local innovation, and was glad that the Workshop had representative from the Kenya Industrial Property Institute (KIPI), to advice on how the intellectual property issues can be taken into considerations in commerciable innovations. The local standards should be those that also advocate and promote local innovation. Dr. Makini encouraged the participants in their efforts in influencing policies that have an impact in promoting local and said they should act as the change agents to bring about the change they would like to see. She wished the participants successful deliberations, and declared the Workshop open.

2.0 GUIDING WORKSHOP PLENARY PRESENTATIONS AND FEEDBACK – *OUTPUT 2*

2.1 Overview of the PROLINNOVA Kenya Network – *Dr. Geoffrey Kamau, KARI*

The objective of this presentation (Annex 3) was to share with the participants a general overview of Prolinnova Kenya (PK), giving the mandate, objectives, achievements and management arrangements. Dr. Kamau said the overall objective of PROLINNOVA–Kenya is to enhance farmers’ innovativeness in agriculture and natural resource management to achieve food security, sustain livelihoods and safeguard the environment. He said PK identifies and support farmer innovations and links them up with other institutions with the aim of refining the new innovations. PROLINNOVA Kenya (PK) network was launched in January 2007 as part of a global network operating in 18 countries and is a platform for farmers, researchers, development agents, entrepreneurs and policy makers ‘to share experiences and lessons on promotion and sustainability of local innovation. Some of the members are WN, KENDAT, PELUM-Kenya SACDEP, SACRED Africa, RODI Kenya, ARDAP, BERMA, FOCODEP, KARI, Universities, and Government Ministries. Among the activities of PK is the Local Innovation Support Fund (LISF) Project. The project was lunched in 2008 to support farmers’ innovation, and farmer led experimentation (FLE) which later gives way to participatory innovation development (PID). To date 42 proposals vetted by local steering committees have been funded and capacity building workshops at National and regional level on management of LISF held. Among the challenges are understanding of the LISF concept and its management.

Comment

- The overall objective gives emphasis on the farmers. This needs to be changed to enlarge the innovation domain and embrace all stakeholders in the agricultural product value chains and sector with the potential to innovate.

Response

- We are not only dealing with farmers and even within ourselves are grappling with this is. The in local innovation includes the farmer's pastoralists and fisher folk and other in the agric sector. The funds we are talking about are not much and are dealing with simple innovation but are considering all innovations that have a bearing on the agricultural sector and hope as this grows, we believe it will be able to accommodate all.

Question

- The role of LISF Project is capacity building and material support. Is there a ceiling in material support?

Response

- In terms of capacity building and material support, the latter is limited to funding ceiling are dependent on the funds available and the capacity building is done to organize the innovation process. However, in future as the budgets available increase, we shall be able to consider bigger innovations projects. This is a point to consider.

Question

- Given that we are discussion about innovations and issue of product and process standards, it would have been good to have the Kenya Bureau of Standards represented at this forum to address the policy issues.

Response

- This might have been overlooked due to budget limitation, but as suggested by one of the participants, in this era of public-private partnerships some of these stakeholders can meet their own costs, particularly if the subject is of interest touching on their core mandate. This should be explored in future.

Question

- From the presentation when it comes to certification, the bureaucracy and the time involved are too much. This perhaps are some of the things that we need to discuss or will this be done in the course of the Workshop?

Response

- We are looking at things that may end up with commercialization but we are also looking at other issues for example the finger millet innovation we are talking about. We have Kenya Plant Health Inspectorate Services (KEPHIS) and its requirements. For the finger millet farmers they may reach a point where they become commercial. The farmers may not use all seed and when they buy polythene packages to distribute the seed to other farmers, it becomes a policy issue with KEPHIS as it will be construed that they are selling commercial seed and there are procedures to be followed. These are some the policy issues that we need to identify as they will have an impact on the innovations.

Comment

- Promoting local innovations is a wonderful idea but we should also ensure that it should also include capacity building on intellectual property and farmers rights.

2.2 Theory of Policy – Mr. David Ombalo, Policy Division Ministry of Agriculture

Representative from the Ministry of agriculture, Mr. Omablo, outlined the policy making process in Kenya. He said previously the process had been top-down but now the process is more inclusive and more stakeholders are now being incorporated into the policy making process. He said many national policies had been developed in the past, ranging from the Poverty Reduction Strategy (PRSP) to the more recent Economic Recovery Strategy; and currently Vision 2030, now the country's development blue print. In response to the Vision 2030, various governments sectors have also developed policies and response strategies. He said over the years the Ministry of Agriculture had also developed various policies to create an enabling environment for the Agricultural sector. Due the dynamic operating environment nationally and internationally, and the development of economic and trading blocs, these policies continue to be revised and updated to make them responsive and relevant to the current day issues. Among the policies being updated/developed are National Extension Services Policy, Fertilizer and Conditioners Policy, National Horticultural Policy, Emerging Crops Policy, Agribusiness Development Policy, Urban and Peri-urban Agriculture Policy, Staple Food Crops Policy, National Agricultural Research System Policy and Organic Agriculture Policy among others.

Comment

- With regard to fertilizers, as extension workers in sustainable agriculture we are emphasising and giving priority organic fertilizers. However, this is not appearing anywhere in the presentation. Emphasis is on conventional fertilisers produced by multi-nationals.

Response

- We know the role that fertilizer plays and the potential that lies therein for increased productivity. We also we have special markets and niche markets that require organic and premium products for which we have to ensure are serviced. We are currently having preliminary meetings with stakeholders in the development of the Organic Agriculture Policy which will address some of the issues raised.

Question

- With regard to trade we are confused, as we have COMESA under Ministry of Trade, and there is the EAC. For a lay person its confusing when it come to trading and markets. Which of the laws prevail?

Response

- Liberalization is something we cannot wish away and Kenya in the region is gaining from this. In liberalization there are gains and losses but the gains surpass the losses especially for Kenya. There are many initiatives that may not be necessarily housed at the Ministry of Trade, but these bring together all the ministries concerned to safeguard our interests. As things stand the national laws are supreme and can be used should there be a litigation. However, there are efforts to harmonize these across the regions for fair play so that everybody gains.

Question

- What are some of the challenges in policy formulation and implementation?

Response

- With regard to policy formation there have been challenges within the various ministries, but within the Ministry of Agriculture we have built this capacity over the years and have had sessions and interactions with best including FAO. In policy formulation there are diverse interests which sometimes are in great conflict. Trying to accommodate everybody can be very expensive in trying to reach out to all, but a compromise has to be reached. The new Kenya Constitution has entrenched this, that stakeholder consultation is necessary in building consensus.
- In addition political interference has been a major issue affecting implementation of policies. In terms of expediencies, political interests in many instances have overrun the policy intentions. But it is important to note that political interferences are part of policy process that we cannot wish away. However, they should be tempered so that they do not derail the process, and to minimise negative interference because at the end, the policy intentions are for the good of the county. In some cases finances to support the policies have been a constraint, hence they cannot be implemented appropriately.

Question

- On one of your slides you indicated that some of the policies are not able to address the changes in the agricultural sector adequately and hence the need to change. There have been rapid changes in policy. Is it because of the rapid changes in policy that has affected as much as policy is dynamic, what positive changes have occurred in the sector that can be attributed directly to policy change especially now given the challenges the sector is facing.

Comment

- It is well known that Kenya has some of the best policies, but implementation has fallen short.

Response

- Various policies that have been formulated have been done so to complement and synergise each other and therefore cannot be said to have been in conflict. The issues may be at implementation but the policies have not been working at cross-purposes.
- In terms of positive impacts if you look at economic growth in this country, this has largely been driven by agriculture and when this sector performs poorly the economy is down. When agriculture performs well the economy grows. This means that the country is still an agrarian society and that the benefits lie more in terms of bringing every one in the agricultural sector above the poverty line. There have been challenges in achieving this, but we have moved from those days we had negative growth and have been doing fairly well.

Question

- We are good at formulating policies, but lobbying and influencing falls short. Can the Ministry do the policy influencing to fast-track the process as this is where most of the policies are stuck; or do we need civil society activists to do the lobbying?

Response

- Lobbying is no longer just a government issue. We are talking about PPP and we would want the key issues are lobbied for just like in political issues. Everybody should have a role to play and we also have our part as government, but government is constrained in terms of bureaucracy and in channels and forms through which lobbying should take place. However, the private sector is at liberty in this. In some cases we have had private members in parliament coming up with bills and we have had the ministries or government meeting them halfway by giving them concessions and consolidating those bills so that all interests are taken on board. That is part of lobbying.

2.3 Policy influencing Strategies - Violet Kirigua, Programme Officer- KARI Headquarters

In her presentation Ms. Kirigua said policy influencing means participating effectively in policy processes by influencing” the policy process; i.e. by contributing to the definition of the policy issue and its dimensions; shaping of recommendations endorsed; developing action plans that define instruments to implement recommendations; and ensuring to policy recommendations and related instruments have been implemented. In some cases it entails being a “broker” of two sides. She said in influencing policy, one can participate as an agency or as stakeholders and to do this there was need for “Policy intelligence and preparedness (PIP)”. Policy intelligence and preparedness enables one to assess the political “mood” and context, and the interests and existing capacity of various stakeholders thereby helping us to identify the best modalities for influencing policy. Key components of PIP include scanning the national, regional and international policy and political environment, and evaluating the socio economic situations, major stakeholders and power balances. Various tools are used for PIP, from which policies and instruments are adopted; and policy influencing strategies deduced. She said there are no blue prints to this, as policy is dynamic and keeps on evolving; but the key points is to be strategic (know the players and the game) and to choose partners, methods and activities wisely.

Comment

- Communication is very important in policy influencing, and we in academia find it easy communicate with the students and fellow researchers, scientists and academicians. However, when it comes to communicating to the politicians this becomes challenging and most of the academia is not comfortable with this. However, engaging the media to communicate with the politicians can be a powerful stool. By highlighting the issues through media the politicians are likely to listen as they would like to identify with the public and in doing so take up the policy issues.
- Much as we are learning, there is need to draw a line as regards to what we need to influence and what we are advocating for so that we should not risk losing track in our efforts. How best can this be addressed?

Response

- When talking to the politicians we need to look at what is in it for them. If you are talking to the Minister for Agriculture, we know his primary concern is food security and therefore our message should be along those lines of how we can address food security. Most important is that we should understand the categories of stakeholders we wish to communicate with, what we intend to communicate and how to communicate.

Question

- You made reference to economic and political environment changes which then presents a window of opportunity for changing the policy. By the time we a lobbying for policy change we already know the long term effects. However, most cases we are not in control of the environments. How possible is it to make sure that a good policy can survive the political changes. How sustainable can a policy be to withstand the changes in the environment?

Response

- Policy issues are dynamic and will keep on changing depending on the changes in the environment and issues at hand. A policy which is relevant today may be obsolete in the future circumstances and will therefore need to be revised to address the emerging issues; hence we may not refer to the sustainability due to this dynamism.
- The Ministry of Agriculture's mission statement is to create an enabling policy environment for enhancing the agricultural sector. It is not the Ministry wish that these policies are sustainable and therefore is engaged in a continuous process of policy review in tandem with the changes in the socio- economic environment. In some cases policy development is top-down especially in cases where the government wishes to achieve certain development objectives.

Comments

- As had been mentioned earlier, Prolinnova began with a number of institutions that have eventually left. The issue here is getting to know what the stakeholder will benefit from the network. When various academic institutions were approached they wanted to know what was in it for them and how much funds were being. As we think about which stakeholders we want to participate we should know how are going to communicate. We need to do some research to know where the different stakeholders can fit in. All the universities have some reference to innovation in their mission statements and we need to find out what they are doing under these statements to be able to engage them appropriately.

Response

- Issue we need to think about is how we mainstream Prolinnova concept, where the management has buy in and a result system are put in place and resource (time, finances and human) allocate. In this way we will not be waiting for inflow to facilitate the Prolinnova activities but rather it would be the organization's way of doing business.

- If we want to engage these institutions there is need to tailor our message about Prolinnova to their missions. In this way they will see their role in the whole process and get their buy in.

Comments

- Some five year back Malawi was food deficit, however currently they are net exporters. This was due to the Presidents efforts and development partners to ensure that the people at the local level received inputs and extension services toward production. How can Prolinnova Kenya learn from this experience to reach the grassroots levels?

Response

- For Malawi, the government promoted the one village develops one enterprise/crop policy (OVAP) and ensured the right environment. In addition there was political good will and a lot of support from development partners.

2.4 Management of Intellectual Property in innovation process – Mr. P. Chege, Kenya Industrial Property Institute (KIPI)

This presentation (Annex 5) was facilitated by Mr. Paul M. Chege, a Senior Patent Examiner with Kenya Industrial Property Institute (KIPI). His aim was to help the participants to understand the concept of intellectual property (IP), define the various categories of IP and understand the importance of IP its linkage with innovation. He also discussed key IP issues in PID and pointed out some instruments that could that can used to address IP issues in Participatory Innovation Development (PID). He introduced the topic by discussing a quote from Winston Churchill ...“the empires of the mind are the empires of the future”. This he used to refer to the transition of a knowledge economy which is as a result of emergence of intellectual capital (intellectual assets). The knowledge economy demands the creation of good management practices of knowledge/knowledge assets and value addition which involves continuous learning and innovation. The global economy divides the countries into IP exporters versus IP importers. This has made research and development outputs to become increasingly critical inputs in the innovation process in the endeavor to drive industrialization. The following discussing ensued after the presentation.

Comment

- The patents in Kenya are less than 5% and based on the bureaucracy and cost of patenting and associated costs of registering it in foreign markets this discourages the young innovators from enhancing the innovations.

Response

- We need IP experts placed at the disposal of the innovators. However, the capacity for offering IP services is very limited within the country and there for not much support has

been granted to the innovators. In this forum should discuss how to get IP advisory services closer to the innovators.

Question

- You referred to integrating indigenous traditional knowledge (ITK) with classical science. Why can traditional knowledge stand on its own on merit?

Response

- There are efforts to develop systems to take ITK on board. However, by making reference to the local knowledge without taking into consideration classical science, we may not be able to penetrate the bigger markets internationally. We will only be able to access the local markets as there will be no internationally universally accepted regimes. The best is to try and integrate the two by protecting the local knowledge and taking advantage/leverage on to the classical science.

Question

- We are tending towards industrialization and promoting the rural cottage industries and associated innovations. How affordable is patenting and will the rural farmers be able to go through the patenting process? What strategies do you have for the rural community outreach on the IP instruments?

Response

- KIPi has an outreach program but have not being able to go far and wide due to limitation in human and capital resources. There is need to push for the presence of IP services, and ensure their availability and affordability to the local innovators. In most cases patenting may not be the most viable option as there are other economic considerations that must be taken into account.

Question

- Can you elaborate on the Utility Model as one of the instruments that can be of relevance to the local innovators under Prolinnova?

Response

- A utility model protection is cheaper and is for 10 years. It protects technical inventions, but as opposed to patents the level on innovation is less and does not include an inventive step.

2.5 Current status of the Science, Technology & Innovation (ST&I) Bill. – Dr. Said Hussien – Chief Science Secretary, National Council for Science and Technology

Dr. Hussien's presentation, Annex 6, discussed research science, technology and innovation in the context of the draft Science Technology & Innovation Policy and Bill. He said the policy making process in Kenya was increasingly becoming more inclusive taking cognizance of the recently developed policies Kenya Vision 2030 and its Medium Term Plan 200-2012. He said the ST&I Policy seeks to establish the Kenya National Technology Acquisition Office (KENTAO) for the promotion and coordination of technology acquisition, adaptation and diffusion; the National Innovation Agency (NIA) for stimulating and intensifying technological innovation and invention in order to improve economic growth and the quality of life for all Kenyans; National Commission for Science, Technology and Innovation (NCST&I) whose mandate will be generation of advice, harmonization, coordination and dissemination of policies for research, science, technology; and the Kenya National Research Foundation (KENREF) whose key functions will be to mobilization, manage and disburse of funds for ST&I activities. He the policy anticipates among other objectives to create an environment for the strengthening supportive physical infrastructure for science, technology and innovation; promoting regional and international cooperation and collaboration in science, technology and innovation specifically targeted towards achieving the goals of international relations, national development and security; exploiting the full potential of science, technology and innovation to protect, preserve, evaluate, update, add value to, and utilize the extensive indigenous resources and traditional knowledge available in the formal and informal sectors of the economy for enhanced livelihoods from various Kenyan communities and securing adequate funding streams for the various science, technology and innovation components to facilitate implementation of the policy objectives and achievement of the intended outcomes. This presentation was followed by a plenary discussion as outlined below.

Question

- The NSCT is encouraging researchers to be innovative as evidenced in the recently held innovators exhibition. What are you doing to protect the innovators? Once an innovation is in the public domain it cannot be patented.

Response

- The mandate of NCST is advisory and the issue of protection should be addressed by KIPi. Most of the innovations at the exhibitions were from institutions and issues of protection fall under KIPi. We can only come in if the policies/laws are inefficient in protecting the innovations.

Question

- Have you involved innovators in drafting the innovation policies?

Response

- All stakeholders were involved but I am not sure individual innovators participated.

Question

- In the last call you provided resources to the formal research systems, what are you doing for the informal sector to promote local innovation?

Response

- The Government gives resources to the respective research institutions, while the NSCT supports both the formal and informal sectors. The grants are given on a competitive basis. The council is out to support science technology and innovation.

Question

- When you are vetting the proposals, do you use the same criteria to vet proposals from the formal and informal sectors? This may disqualify many of those from the informal sector.

Response

- The NCST support is in the area of research and innovation. However, there is the area of technology transfer that is coming up. The criteria for vetting research proposals is different, more complex and rigorous as this is done by research institution and universities and is therefore unsuitable for the informal sector. The criteria for the informal sector are “softer”. The Council has also adopted the AKTP model from the British Council, which will bring in more of the informal sector, as it brings together the formal research and industry to refine the technology and the products. Most of the proposals under innovations are from the informal sector.

3.0 PRACTICAL EXPERIENCES, LESSONS LEARNED, STRENGTHS AND WEAKNESSES AND POTENTIAL POLICIES - *OUTPUT 3*

3.1 Group Discussion Session One: Experiences sharing, strengths and weaknesses and potential policies for influencing

This discussion session was aimed at sharing practical experiences with policy influencing drawing lessons, identifying institutional strengths and weaknesses in influencing policy, and potential policies that PROLINNOVA Kenya wishes to influence. To do this, the participants were divided into three discussion groups were expected to review, discuss and:

- Identify practical experiences with policy influencing.
- Identify lessons that can be drawn out of the practical experiences with policy influencing.
- Identify the challenges facing the process of local innovation, the actual innovations and policy influencing at different levels. (*Local, Institutional, National Etc*)

- Identify strengths and weaknesses within different categories of member institutions in influencing policy. (*Research Institutions, Universities, Ministries, NGOs, Private Sector Etc*)
- Identify potential policies and policy issues that PROLINNOVA Kenya may wish to influence.

3.2 Plenary Presentation of Group Session One

Each of the three groups presented their findings, and the plenary presentations from the group were further, discussed and summarised as shown below.

3.2.1 Practical experiences with policy influencing

The practical experiences by the various stakeholders were:-

- The process of policy influencing took a long time and these resulted in some policies being overtaken by events
- Most policies have been top down and not given much room for consultation of stakeholders. Some of these have been influenced even by external forces
- Disconnect in discussions due to high turnover of representatives from various organization.
- Conflicting interest of different organizations
- Representatives are sometimes more concerned about the monetary benefits above the policy process.
- Conflict coming at the end of the policy formation process as a result of stakeholders disowning the content.
- Lack of genuine interest during policy formulation. Stakeholders will only lobby for policies which are favorable to their interests and not common good.
- There was lack of sufficient stakeholder consultations.
- The process required major consultations with the stakeholders to ensure issues were well articulated.
- Lack of enthusiasm by those in authority on the policy issues.
- Low capacity within the institutions to influence policy.
- Involved in identifying the issues and also in the development of the policy recommendations
- Ensuring all stakeholders were involved throughout the process was critical.
- Getting the right stakeholders involved right from the start to minimize opposition
- Realized that they needed support from the other organizations that would impact on the policies.
- Had challenges in tapping into the expertise of other organizations
- Realized that they needed policies/strategic plans of institutions to ensure coherence.

3.2.2 Lessons Learnt in Policy Influencing

Lessons learnt includes:-

- The need for champions to drive the process (target insiders or drivers from within the target institutions).
- The need to take into account the concerns of the stakeholders in order to enhance ownership.
- There is need to try and shorten the time taken in the process of policy formulation.
- Institutions should consider consistency in attendance and in updating themselves of the policy processes in which they are involved.
- There needs to be constant documentation of process.
- There is need to continuously create awareness.
- Ownership and involvement is necessary to ensure all are on board.
- Importance of political support and media to create awareness
- There is need for wide stakeholder consultations for consensus.
- Importance of research for the development of evidenced based policies.
- Find ways of balancing conflicting interests/ideas from farmers or stakeholders.
- The most powerful carry the day.
- Have good communicating skills based on target.
- There is need for intense lobbying with parliamentarians.
- There may be a policy in place but the problem may not be solved.
- Not all problems necessarily need policy solution.
- Policy Influencing and implementation requires resources both financial and human.
- Need to repackage your lobbying message based on the group target.
- Policy advocacy can start at any level.

3.2.3 Challenges faced in the innovation process and policy influencing

Presented were:

- Lack of involvement of stakeholders, use of top down approach.
- Innovations are viewed from the classical point of view hindering the development and promotion of the innovation.
- Negative perceptions towards local innovations. It is easier to convince people about foreign innovations
- Funding is a challenge for development of these innovations. The cost of developing some innovations is also high and organizations are not willing to invest in.
- Intellectual property Rights is a challenge, there is lack of awareness and expenses involved which prevent innovators from making use of the IP protection system.
- Lack of mechanisms and capacity within institutions to accommodate working with innovators and influencing policies concerning innovations.
- Lack of supportive systems within institutions to support local innovation.
- Lack of creation of synergies by institutions to support innovators and innovation processes.
- Limited deliberate efforts to support local innovators.
- Lack of capacity building for the local innovators.
- There may be external influences e.g. conventional standards and there is need to customize to local circumstances.
- Not all innovations may need patenting as they may not then benefit the innovator positively.
- Lack of forum for discussing policy influencing strategies and apathy among stakeholders who should influence policy.
- Lack of capacity/knowledge to influence policy

3.2.4 Strengths and weaknesses of different categories of member institutions in Policy Influencing

Table 3.1: Institutional strengths and weaknesses

Institutions	Strengths	Weaknesses
Media	<ul style="list-style-type: none"> • Have access to the public • Have high visibility • Boldness to address and talk about the issues • Ensure check and balances to ensure policies are followed up 	<ul style="list-style-type: none"> • Can easily misinform • May not have the fact about the policy issue • Most cases are profit driven
Civil Society	<ul style="list-style-type: none"> • Can easily access resources up issues for civic education and mobilization for public action • Able to bring up issues that the government has not addressed • Able to mobilize public action 	<ul style="list-style-type: none"> • Can spread propaganda • At times agenda driven by external agents • Risk of taking over the innovation for marketing themselves
Government	<ul style="list-style-type: none"> • Have the mandate to change policies and also for enforcement • Have the expertise but can also access this externally if not available • Have access to resources to implant policies. 	<ul style="list-style-type: none"> • In some cases there is low capacity of those in authority to articulate the policy issues presented. • Political interference of those in authority. • Political leaders may have other priority issues at hand. • Bureaucratic process slow down the implementation
University and Research Institutions	<ul style="list-style-type: none"> • Ability to provide information in support of the policies • Have the human and intellectual capital • Mandate is in research and human resource development 	<ul style="list-style-type: none"> • Lack of aggressiveness in influencing policy issues • Lack of mental orientation and insight to recognize innovations • Policy influencing not given priority in these institutions
Farmers/innovators	<ul style="list-style-type: none"> • Can mobilize action for change of policies. • Have capacity for united action – can quickly mobilize action. 	<ul style="list-style-type: none"> • Lack information of the policy influencing processes • Lack the knowledge to instigate the policies. • Limited resources to follow-up the process
Political Elite	<ul style="list-style-type: none"> • Have direct access to power to influence the policies. • Have access to state machinery. • Can mobilize the public for mass action for change of policies 	<ul style="list-style-type: none"> • Conflict of interest - personal vs. public. In some cases will not support unless there is some personal gain.

3.2.5 Potential policies & policy issues that PROLINNOVA Kenya may wish to influence

The Policies that PROLINNOVA Kenya may wish to influence include:-

- Institutional policies – to mainstream and enhance to support to local innovation and innovators.
- The National Agricultural Research System Policy – to recognize local innovators and knowledge as having a role to play in agricultural development
- National Science Technology and Innovation Policy – currently under formulation and this provides forum to ensure issues of local innovation are addressed.
- Policies on Climate Change adaptation and mitigation – the role of local innovation as a possible solution
- National Agricultural Extension Policy – role of local innovators in enhancing technology adaptation and adoption.
- Fertilizers and Soil Conditioners and Animal Feed Policies - to recognize role of local innovations in soil amendments and livestock feed in enhancing agriculture.
- Policies on process and product standards - to enhance commercialization of the local innovations.
- Policies on IP incentives for local innovation – to encourage innovators in identifying solutions to existing challenges.
- National Cereals Policy - e.g. marketing of grains by farmers using institutional frameworks as an innovation.
- National Seed Policy- to recognise the role that innovators can play to facilitate seed production and commercialisation for smallholder farmers.
- Bio Safety Policy - to ensure biotechnology information and material is understood and well conceptualized by the main uses the farmers.
- Development partner policies – to recognize the role that local innovation play in food security and economic development.

4.0 POLICY INFLUENCING STRATEGY DEVELOPMENT STEPS, THE MAIN COMPONENTS AND TOOLS – OUTPUT 4

This Session aimed at getting the participants to understand the need for defining the problems or bottles necks as to why there is no policy or if there is one why it is not effective; and understanding the policy context in order to be able to come up with appropriate strategies to influence the policy change. The following two presentations were made followed by detailed plenary discussion thereafter.

4.1. Defining the problems in the Policy Influencing Process? - Violet Kirigua – Programme Officer Kenya Agricultural Research Institute

Ms. Kirigua’s presentation (Annex 7) outlined the need for understanding why there are no effective policies. She said the questions that need to be addresses include: - what is preventing a more substantial mainstreaming of participatory innovation development in our context?; what are main constraints?; what specific policy do we wish to focus on at the moment in time and how do we translate or operationalize our general messages within this policy process?; and what are the real bottlenecks in the case of the chosen issue that prevent our messages from being taken seriously and accepted?

Answering these questions should assist us in identifying the bottlenecks and consequently the relevant policy-influencing strategies and activities, which could eventually lead to a change in policy.

4.2 Understanding the Policy Context, Dr. Pamela Marinda – University of Nairobi

Dr. Marinda presentation (Annex 8) took the participants through the policy context and policy levels; stakeholders and relationships between them, modalities for influencing policy at various levels and identifying the entry points. She concluded by stating the main items to consider in policy influencing, the need to understand the policy context and the different levels at which to influence of policy. She emphasized the importance of stakeholders as potential supporters and allies, including the media, donors and key networks. Finally she brought out the need for the development of an effective communication strategy in order to influence policy and address needs of various stakeholders/actors.

Question

- Reference is made to the secon slide the phrase “the process should be effective” – how do we measure the effectiveness?

Response

- Developing a policy takes a long time, and usually the Government develops both long and short term measures. The short term measures developed in line with the policies ensures that the process can proceed as the policy process is finalised.

Comments

- Wish to thank the organizers for having brought on board some of the organizations involved in policy formulation process such as MOA, KARI, KIPi. My appeal is that since there are already a few policies in process that they try and find out how promoting local innovations can be integrated into these policies. One important area is in the budgeting so that when these institutions are preparing the annual they include some of the PK activities.

5.0 DEVELOPMENT OF POLICY INFLUENCING ACTION PLAN – OUTPUT 5

5.1 Group Discussion Session Two: Development of Policy Influencing Strategy/Action Plan

This discussion session aimed at reviewing, discussing and developing a strategy/action plan for mainstreaming and influencing policy within the PROLINNOVA Kenya network member institutions and the wider agricultural sector. To do this, following activities were undertaken:

- i) Identification of potential policies and policy issues that PROLINNOVA Kenya may wish to influence.
- ii) Identification of necessary and sufficient intervention strategies required to address each policy issue.
- iii) Identification of necessary and sufficient activities required to deliver each intervention strategy.
- iv) Identification of the time frame required to deliver each intervention strategy and activity.
- v) Indication of who shall be responsible for the delivery of each intervention strategy and activity.
- vi) Indication of the possible collaborators, supporters, and or partners.
- vii) Indication of the key performance indicators for each intervention strategy and activity.
- viii) Identification and costing of the resources and services required to carry out each activity.
- ix) Indication of the Intermediate Outcome defined in terms of what will be achieved by the delivery of the intervention strategy/activity.

This group discussion resulted in the development of a draft policy influencing strategy/action plan as outlined in the **Table 5.1** below. In a plenary discussion that followed it was agreed that there is need to look at PK in terms of enhancing taking it to an upper level in policy

advocacy. This includes re-evaluating the mandate, core functions, organizational & management structures and membership of PK. In turn this will enable us define our scope and development of strategies and activities within a given time frame and allowing implementation to be done in phases. In relation to activities, it was suggested that the best way of doing that could be:

- A situation analysis, paying attention to policies issues both at institution level and national policies
- Development of the interventions to address the gaps
- Rolling out the inventions
- Monitoring and evaluation at all levels to bring out lessons learnt

There is need to include as many institutions as possible in the network as policy issues are broad and cannot be handled by one person or institution. The inventory that is currently ongoing is very important and could include all types of innovations. In addition it was agreed that:-

- each of the institutions represented should undertake an inventory of their policies and programmes to identify whether there are favorable to local innovation.
- there is need to sensitize the ten sector ministries and departments in the agricultural sector and other relevant institutions on PK
- there is need to look at who is important for PK, what they know and what do we want to tell them about PK.
- Embrace public private partnerships (PPP) where stakeholders can actually support participation in such meetings.
- A list serve of the workshop participants is established for continued communication on innovation.

Table 5.1: Plenary Presentation of the PROLINNOVA (Kenya) Strategy/Action plan for mainstreaming and influencing policy

Policy and policy issues, intervention strategies and their respective activities	Time Frame	Responsible	Supporters/ Partners	Key Performance Indicators	Budget	Intermediate Outcome
POLICIES WHICH IMPACT ON PROLINNOVA KENYA AN ORGANIZATION						
1.0 POLICY ISSUE : DEFINITION OF PROLINNOVA AND CONSTITUTION						
1.1 Intervention Strategy One: Definition of network roles/boundaries						Role of PK clearly understood and recognized
1.1.1 Activity One: Stakeholder analysis	Sep 2011	PK	Government ministries & Private sectors, NGOs, Universities, research Institutions	List of stakeholders Stakeholder analysis reports		
1.1.2 Activity Two: Stakeholder roles and visioning	Dec, 2011	PK - Stakeholders	“	No of stakeholders with interest in PK initiatives		
1.1.3 Activity Three: Development of Strategy and Implementation documents	March 2012	PK	“	Draft strategy and Implementation Plan documents		
1.2 Intervention Strategy Two: Knowledge management						
1.2.1 Activity One: Communication for support/preservation	April 2012	PK	“	Communication materials produced Number of people reached		
2.0 POLICY ISSUE: INSUFFICIENT RECOGNITION OF LOCAL INNOVATION (LI) IN INSTITUTIONAL POLICIES						
2.1 Intervention Strategy One: Creating awareness on LI						Awareness created on the importance and role of local innovation in development
2.1.1 Activity One : Documentation of successful LI	June 2012	PK	“	No of publications on the local innovation		
2.1.2 Activity Two: Outreach events (Fairs, seminars, conferences, exhibitions, media etc)	Continuous	PK, Stakeholders	“	No of outreach and promotional activities		
2.1.3 Activity three: Public education	Continuous	PK, Stakeholders	“	No of institutions and people sensitized about		

Policy and policy issues, intervention strategies and their respective activities	Time Frame	Responsible	Supporters/ Partners	Key Performance Indicators	Budget	Intermediate Outcome
				PK		
3.0 POLICY ISSUE: LACK OF SUPPORT FOR LOCAL INNOVATORS						
3.1 Intervention Strategy One: Enabling local innovators penetrate the wider market & creation of employment						Increased support from public and private institutions for local innovation initiatives
3.1.1 Activity One: Linking local innovators business service providers (e.g. research, financiers, standards and certification bodies) and potential investors	Continuous	Private Public Partnerships (PPP)	“	No. of cottages industries established. No. PPP established		
3.1.2 Activity Three: Lobby for Community Development Funds (CDF) and others to support local innovations development & commercialisation	Continuous	PK, Stakeholders	“	No. of sources of funds(e.g. CDF, LATF) supporting local innovation		
3.2 Intervention Strategy Two: Corporate Social Responsibility						
3.2.1 Activity One: Sensitization of the corporate sector for support and utilisation of local innovation	Continuous	PK, Stakeholders	“	No of organizations supporting local innovation initiatives		
POLICIES WHICH IMPACT ON LOCAL INNOVATION						
4.0 POLICY ISSUE: LACK OF AWARENESS ON AND NON- ALIGNMENT OF NATIONAL POLICIES WITH BEARING ON LOCAL INNOVATIONS						
4.1 Intervention Strategy One: Stakeholder education on policies which bear on local innovation				No of people sensitized about policies that impact on local innovation		Conducive policies and environment promoting local innovation.
4.1.1 Activity One: Identification and analysis of the policies that have a bearing on local innovation	Continuous	PK, Stakeholders	“	No of copies/policy briefs distributed to stakeholders		
4.1.2 Activity Two: Review workshops to present issues of concern to relevant stakeholders	Continuous	PK, Stakeholders	“	No of workshops held to present		

Policy and policy issues, intervention strategies and their respective activities	Time Frame	Responsible	Supporters/ Partners	Key Performance Indicators	Budget	Intermediate Outcome
				policy issues of concern		
4.2 Intervention Strategy Two: Ensuring PROLINNOVA participation in policy formulation processes						
4.2.1 Activity One : Creation of a PK policy committee	June, 2012	PK	“	Minutes of meetings on deliberation to form a PK policy committee		
4.2.2 Activity Two: Inventories local innovation in the Natural resource management and environment	Continuous	PK, WN, KARI	“	List of local innovations inventory		
4.3 Intervention Strategy One: Incorporation of local innovations component in the relevant policies						
4.3.1 Activity One: Revisit of the policy to identify the gaps and whether issues of local innovation are entrenched	Continuous	PK, Stakeholders	“	No of reports on policy gaps & constraints		
4.3.2 Activity Two: Advocacy & Lobbying for inclusion of relevant policies	Continuous	PK, Stakeholders	“	No of consultative meetings Recordings of advocacy activities No of policy briefs		
4.3.3 Activity Three: Incorporate; develop the relevant policies to enhance local innovation.	Continuous	PK, Stakeholders	“	Draft of recommendations circulated to the working committee		
4.3.4 Activity Four: Stakeholders sensitization	Continuous	PK, Stakeholders	“	List of participants sensitised		
4.3.5 Activity Five: Participatory Monitoring and Evaluation	Continuous	PK, Stakeholders	“	M & E activities and report		

6.0 WORKSHOP WAY FORWARD AND CLOSING REMARKS,

6.1 Overall Workshop Way Forward

Based on the deliberations for the two days and in view of the fact that group work assignments needed to be rationalized, the following agreements were made as regard finalization of the Strategy/Action Plan.

Table 6.1: Workshop Way forward

Action Items	Responsible	Time Frame
1.0 Synthesize and complete the discussion group session one contributions into one final report	Violet, Dr. Kamau Treazah, PK	2 weeks
2.0 Synthesize and complete the discussion group session two contributions into one strategy/action plan	Violet, Dr. Kamau Treazah, PK facilitator	2 weeks
3.0 Back to office reports, analysis of policies and programmes in the various institutions with a bearing on local innovation	All workshop participants	1 month
4.0 Monitoring the progress and the application of the skill acquired during the workshop and drawing lessons	PK	Continuous
5.0 Establish a list serve of the workshop participants for communication	PK	Immediately
6.0 PPP – fora for buy-in and resource mobilization.	PK	Immediately
7.0 Preparation and distribution of workshop report	Violet, Treazah and Facilitator	1month

6.2 Closing Remarks.

In his closing remarks, Dr. Kilewe said that as the facilitator he appreciated the interactiveness of the participants and expressed hoped that the meeting had delivered on the expected outputs and had given the PK team and collaborating partners an opportunity to consolidate and share their experiences in policy influencing. He hoped that the facilitators' performance had met both PK and the participant's expectations. He thanked Violet and specifically PK for giving him an opportunity to facilitate the meeting and participants for their dedication and commitment during the meeting. He said that these enabled the meeting to achieve its purpose besides making facilitating task achievable. He said he looked forward to continued cooperation and collaboration in similar future activities. He then called upon Violet Kirigua to lead the closing protocols and invite the various partner institutions to give their closing remarks.

- **Ministry of Agriculture (MOA)**

Ms Agnes Kyallo said she was happy to note the efforts PK was making through its partner organizations in development and in addressing issues of food security. She said that there was need to recognize key factors that can move PK forward and those acting as bottlenecks pulling the network backwards; and paying attention to only those that will enhance the mission of PK. Policy was one of the issues and PK can work with the Policy and External Relations Directorate of the Ministry of Agriculture should there be issues on local innovation that need to be addressed. She said she was happy to be associated with PK and said it was a great initiative which should be nurtured and let to grow.

- **KARI**

Dr. Kamau said that this has been a great experience that ought to have happened a while ago, but since we have now learnt and discussed about policy issues, we are now in a position to move PK to the next level. Despite the varied understanding of the concept on innovation due to different capacities and interest, in everything that is done there should be policies to guide what we do. He said the PROLINNOVA definition of local innovation is innovations based on local knowledge plus other classical innovations such as the bee hive and the millet innovations. Dr. Kamau said he was glad that the workshop has taken place and believed that this was the beginning of strengthening PK.

- **Young Innovators Association(YAI)**

On behalf of YIA, Mr. Kelvin Macharia said that more attention needs to be given to innovators and to link them up with PK. He said he would like to see a lot of commercialization of many innovations.

- **Chairman – PROLINNOVA Kenya**

Dr. Bell Okello, the final speaker in this session, said he was glad that all had found time to participate in this important workshop. He said he recognized the efforts of the organizers, as well as the facilitators. Dr. Okello said he was thrilled that the policy workshop has finally been concluded after many months of thinking through and planning. He said the workshop on Policy Influencing had come at an important time not only in the life of Prolinnova Kenya, but for all key actors and stakeholders in Kenya's agricultural sector.

He emphasized the fact that agricultural production remains the backbone of the country's economy, a critical contributor to achievement of Kenya Vision 2030 and more importantly in the unwritten visions of millions of households and individuals. He said this was significant because over the last 5-6 years, the global community has come back to its senses to acknowledge what he called "common sense" that "no farmers, no future".

With the orientation of farming as a business, many people have taken to farming with an enthusiasm hitherto unseen. Production levels of traditional and new commodities have risen over the last few years, with corresponding increases in cost of production for most commodities. Yet the new interest in agriculture must be weary of the gaps that years of neglect have created, the vacuum has been filled by other issues.

Dr. Okello said the sector faces many challenges and one issue that stands out is the soft support to the sector, in terms of its governance and management. He challenged the participants to look at this as an opportunity where policy plays a role. He said good policies are often achieved after lots of meticulous studies and analyses!. Even after such studies, adequate and incontrovertible evidence that is self explanatory must be produced to support the policies. However, he said, evidence alone cannot make policy and we must find ways and means of advocating for these policies, at the right time, at the right place, using the right message.

He said PK has identified the need to have critical skills that drive such policy initiatives, and hence this workshop. Influencing policy must start from the need to correcting a largely unfriendly or negative situation in a context in which there is comfort for a few, while a majority, especially vulnerable groups women included, face insurmountable hurdles. Concluding his remarks, Dr. Okello said that though the workshop was short he hoped that it had equipped the participants with critical skills needed in identifying and formulating tools to influence policy issues positively in all the sub sectors of agriculture. He believed that the participants will apply the skills learned and work towards strategically influencing the needed policies. Once again thanked the organizers and facilitators, the Agricultural Information Centre for the facilities and finally the participants for their time and the development partners for the funds to host such an important event and declared the workshop closed.

ANNEX 1: LIST OF PARTICIPANTS – POLICY INFLUENCING WORKSHOP

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24.	Anthony M. Kilewe	Box 66748,NRB	0713461188/ 0733827785	kilewe@yahoo.com	Facilitator
25.	Jane Kiugu	Box 57811 NRB	4183301/20	jkiugu@kari.org	KARI Secretariat

ANNEX 2: WORKSHOP PROGRAMME - PROLINNOVA (KENYA) POLICY INFLUENCING WORKSHOP

This programme contains the sequential necessary and sufficient activities that are required to deliver the expected outputs and hence the workshop purpose. The programme shall be adjusted on a day-by-day basis in a rolling programme approach so as to accommodate emerging issues as the workshop progresses.



DAY ONE	THURSDAY	19/05/2011
SESSION-TIME	ACTIVITY	RESPONSIBLE
SESSION 1	<i>Introductions, Opening Remarks and Overview of PROLINNOVA (Kenya) - Output 1</i>	
08:30 – 09:00	Registration and review of documents	Workshop Secretariat
09:00 – 09:10	Introductions	Facilitator – A.M. Kilewe
09:10 – 09:20	Welcome remarks	Violet Kirigua
09:20 – 09:40	Opening remarks	DD Outreach and Partnerships
09:40 – 09:50	Workshop purpose, expected outputs and approach	Facilitator
09:50 – 10:20	Plenary presentation and discussion of the overview of PROLINNOVA (Kenya) Network mandate, objectives, achievements and management arrangements	Dr. Geoffrey Kamau KARI
10:20 – 11:00	HEALTH BREAK AND GROUP PHOTOGRAPH	
SESSION 2	Theory of Policy and Policy Influencing Strategies - Output 2	
11:00 – 11:30	Plenary presentation and discussion on the theory of policy: <ul style="list-style-type: none"> • What is policy? • How is it developed? • How is policy implemented? • What is the process of formulating and implementing policy? • What/who has an influence on it? 	Mr. David Ombalo Ministry of Agriculture

11.30 – 12.00	Management of Intellectual Property in innovation process	Mr. P. Chege <i>KIPI</i>
12:00 – 12.30	Plenary presentation and discussion on the policy influencing strategies: <ul style="list-style-type: none"> • What is policy influencing? • What are the strategies for influencing policy? • What is the role of civil society and other stakeholders? 	Violet Kirigua <i>KARI</i>
12:30 – 13.00	General Plenary Discussion	Facilitator
13:00 – 14:00	<i>LUNCH BREAK</i>	
14.00 – 14.15	Current status of the Science, Technology & Innovation Bill.	Hussein Said NCST
SESSION 3	Practical Experiences, Lessons Learned, Strengths and Weaknesses and Potential policies - <i>Output 3</i>	
14:15 – 14:25	Plenary groups formation and discussion terms of reference	Workshop Facilitator
14:25 – 16:00	Group Discussion Session One on sharing of practical experiences, lessons learned, strengths and weaknesses and potential policies as per the terms of reference	Group Chair Persons and Facilitator
16:00 – 17.00	Plenary feedback, discussion and consensus building on the Group Discussion Session One assignment	Rapporteurs and Facilitator
17:00 – 17:30	<i>HEALTH BREAK AND DEPARTURE</i>	
<i>END OF DAY ONE</i>		

DAY TWO	FRIDAY	20/05/2011
SESSION-TIME	ACTIVITY	RESPONSIBLE
SESSION 4	Policy Influencing Strategy Development Steps, their Main Components and Tools - <i>Output 4</i>	
09:00 – 09:10	Recap on day one and emerging issues	<i>Facilitator</i>
	<i>Plenary feedback, discussion and consensus building on the Group Discussion Session One assignment</i>	Rapporteurs and Facilitator

09:10 – 09:50	Plenary presentation and discussion on the “ What is the exact problem? ” <ul style="list-style-type: none"> • Where are the bottlenecks? • Why is the issue raised seen as a problem? • What is behind the problem mentioned? • Is it related to policy formulation or implementation? • (Re-)Define objective of the policy advocacy/dialogue 	Violet Kirigua KARI
09:50 – 10:30	Plenary presentation and discussion on the “ What is the policy context? ” <ul style="list-style-type: none"> • Who controls these policies? • What are the key “entry points” • Is the policy political, ideological or technical? • Is it a national, regional or local concern? • Who could be your allies? • Who will be against the changes suggested? 	Pamela Marinda UON
10:30 – 11:00	HEALTH BREAK	
SESSION 5	Development of Policy Influencing Strategy/Action Plan - Output 5	
11:00 – 11:10	Plenary groups formation and discussion terms of reference	Workshop Facilitator
11:10 – 13:00	Group Discussion Session Two on the development of policy influencing strategy as per the terms of reference	Group Chair Persons and Facilitator
13:00 – 14:00	LUNCH BREAK	
14:00 – 15:00	Plenary feedback, discussion and consensus building on the group discussion session two on the development of policy influencing strategy	Rapporteurs and Facilitator
SESSION 7	Workshop Way Forward, Evaluation and Closing	
15:00 – 15:30	The workshop way forward and evaluation	Violet Kirigua and Facilitator
15:30 – 16:00	Workshop closing remarks.	Dr. Bell Okello Chairman PROLINNOVA Kenya
16:30 – 17:00	HEALTH BREAK AND DEPARTURE	
END OF DAY TWO		

ANNEX 3: OVERVIEW OF PROLINNOVA KENYA

WN

PROLINNOVA – KENYA
Overview

*Presented during policy
PROLINNOVA workshop at the AIC
on 19th May 2011*

By G.M. Kamau, V. Kirigua and NSC

Introduction:

- PROLINNOVA Kenya (PK) network was launched in January 2007 as part of a global network operating in 18 countries.
- It is a platform for farmers, researchers, development agents, entrepreneurs and policy makers 'to share experiences and lessons on promotion and sustainability of local innovation.
 - WN, KENDAT, PELUM, SACDEP, SACRED Africa, RODI Kenya, ARDAP, BERMA, FOKO, KARI, Universities, Government Ministries,

Overall Objective of PROLINNOVA–Kenya

- To enhance farmers' innovativeness in agriculture and natural resource management to achieve food security, sustain livelihoods and safeguard the environment.

PK specific objectives

- To create and strengthen partnerships between stakeholders for engagement in participatory processes that enhance local innovativeness
- To set up multi-stakeholder platforms for reflection, analysis and learning about promoting farmer-led experimentation and supporting local innovations
- To develop database of existing local innovations, innovators and partner organisations
- To build the capacity of stakeholders to enhance local innovation processes;
- To develop a framework through which to monitor and evaluate network activities and their institutionalisation
- To develop strategies for advocacy and lobbying for awareness among stakeholders on local innovation and participatory innovation development

Implementation Principles

- Farmers :
 - Hold valuable knowledge
 - Innovate continuously
 - Seek new knowledge
 - Capacity building accelerates innovation
- Capacity Building +material support = more results




LOCAL INNOVATION SUPPORT FUNDS (LISFs)

- To support farmers' innovation, a Local Innovation Support Fund (LISF) launched in 2008.
- Supports Farmer led Experimentation (FLE)
- FLE later gives way to participatory innovation development (PID) with researchers where farmers have a voice .
- LISFs managed by Local Steering Committees

LISF Sequence

- 1) Proposals from innovators
- 2) Proposals vetted by LSC
- 3) Approved proposals submitted to LSC
- 4) Proposals entered into [register](#)
- 5) Funds disbursed
- 6) Field activities start (FLE, FLD, PID)
- 7) Participatory M&E conducted

Management and coordination

- Managed by a National Steering Committee

- Members of NSC are:
 - NGOs (WV, KENDAT, PELUM, SACDEP, SACRED Africa, RODI Kenya)
 - Research (KARI)
 - Universities - (JKUAT),
 - Private sector
 - Government ministries - MOA.

- Current host KARI



Achievements to date

- 42 proposals vetted by local steering committees and funded
- Capacity building workshops at National and regional level
- Farmer innovators fora in Western and Eastern Kenya.
- PID for some innovations just starting
- Researchers are able to prepare joint proposals with innovators
- Recent NCST exhibition –two innovations in **top 14/40**

Sample of innovations

- **Eastern Kenya**
 1. Finger millet nursery and dissemination
 2. 'Kalama' weeder/seeder
 3. Modified 'zai' pits
 4. Harvesting of rock badger manure
- **Western Kenya**
 1. 'Sokoro' dairy meal
 2. 'Kakoko' Hybrid Hive
 3. 2- pot system fridge
 4. Fireless cooker egg incubator

Farmer Innovators at NCST Exhibition



KARI Stand -KICC 3rd & 6th may



Innovator De Jakes with judges



The Four Innovators



Innovator David Makau with CEO NCST

Challenges


- LISF concept and its management.
- Fixed mind set of some stakeholders
- Inadequate/untimely funding
- Scanty documentation

Conclusion

- Lots of enthusiasm from farmers and other local innovators and organizations
- LISF has potential to encourage local cottage industries.
- Local innovation could be an ideal starting point for various rural participatory processes

END
Thank you


ANNEX 4: POLICY INFLUENCING



PROLINNOVA Kenya
Policy Influencing Workshop
19th - 20th May, 2011
AIC, Nairobi

Violet Kirigua

Violet Kirigua




Policy Influencing

Means:-
Participating effectively in the policy processes and this in turn means -

"Influencing" the policy process



Essentially it means being a **"broker"** of two sides.



"Influencing" policy means

- Contributing to the definition of the policy issue and its dimensions (this includes using methods and tools for policy analysis).
- Contributing to shaping of recommendations endorsed and reflection of these in policy statements.
- Development of an action plan that defines instruments to implement recommendations.
- Ensuring policy recommendations and related instruments have been implemented.

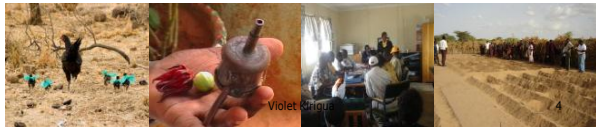
Violet Kirigua

How?

How do you get your issue on the table?
Where must decisions be made?
What is your point of entry?
Why should they do anything?


- Is there a pressing priority
- Is there economic benefit
- is there political liability/benefit
- Is there media sensitivity




How?


Participation

- as an **agency** (national or external) whose role it is to provide assistance to the policy process.
- as **national stakeholders**



As an Agency the requirements are

- Trust, credibility and reputation (stable relationship, demonstrated success, dialogue and capacity to listen, capacity building).
- Independent (particularly when there is no agreement among stakeholders).
- Good knowledge of the policy context (policy intelligence).
- Flexible and timely intervention
- Capacity to provide follow-up at time of implementation.
- Expertise in technical and "soft" domains



As national stakeholders

Need empowerment:

- o Recognized representative organizations.
- o Capacity to elaborate convincing policy narratives based on a sound analysis of the situation and of the impact of policy changes envisaged.
- o Accountable, with democratically designated leadership, good communication and negotiation skills, including capacity to build coalitions.
- o Good knowledge of the policy context (policy intelligence) and capacity to use it (access to key opinion and decision makers)
- o Capacity to demonstrate their power in an organized manner, if required, as an input in negotiation processes.

Violet Kirigua

Modalities for influencing Policy

i) Global and Regional level

- Actor - fora where policy research occurs and policy narratives are developed (conferences, seminars, networks).
- Member of global and regional arenas where policy statements, conventions and agreements are drafted

ii) National Level

- Policy advocacy, policy reviews and studies, policy projects, field level pilots, capacity development, think tanks and research institutes

Are we prepared?

"Policy intelligence and preparedness (PIP)"

Why PIP:-

- o To assess the political "mood" and context.
- o To assess the interests and existing capacity of various stakeholders.
- o Helps identify the best modalities for influencing policy.

Violet Kirigua

What is PIP?

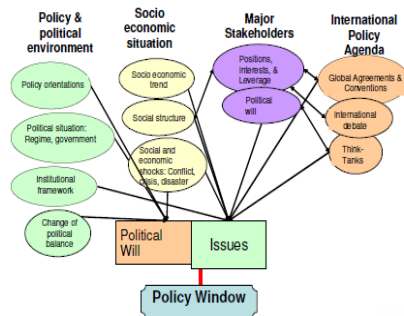
A set of **activities** undertaken to gain **knowledge** and **understanding** of the political economy around a policy process **to design and implement activities** to **influence policy processes** more effectively.

PIP requires an appreciation of four major dimensions:

- the national policy and political environment
- the socio economic situation
- major stakeholders
- the international and regional policy agendas

Violet Kirigua

Key components of PIP



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National policy and political environment

- o **Institutional framework for policy making** (formal and informal rules governing decision making):
 - Who sets the policy agenda?
 - Who are the generators of ideas for policy solutions
 - Who produces policy narratives? (based on conventional wisdom, ideological orientation, evidence based).
 - In which forum or arena (what status?) who takes part in them, what procedure for resolution of conflicts or disagreements).
- o **Prevailing policy orientation:**
 - The dominant development narratives (overall sector development strategies)
 - The overall sector/policy priorities and policy objectives
Their main policy instruments

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Changes in national policy environment(1)

May offer windows of opportunities:

- Change in political balance resulting from elections or new political alliances.
- Changes in policy networks and alliances.
- Modification of composition of the government and its political interpretation and including the nominations of new senior government officials.
- Bold statements made by senior politicians, representatives of private/civil society organizations or development partners

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Changes in national policy environment(2)

- Changes in existing laws (including the constitution) and their political interpretation;
- Modification of political or policy procedures/processes and new institutional arrangements;
- Change of policy orientation;
- Change in aid modalities and priorities of key development partners as captured by minutes of meetings and declarations.

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Socio economic situations

- Socio economic structure and performance
- Institutional issues
- Socio economic relations and eventual tensions
- Long term trends and underlying factors
- Shocks and their causes

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Major stakeholders

Stakeholders:

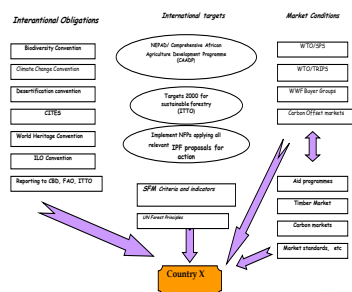
- Individuals, groups of individuals and organizations with their interests and concerns, and with their power to influence policy processes

different types of agricultural producers, traders, processors, retailers, consumers, importers/exporters, their associations various ministries and parastatals, NGOs, development partners

- They may lose or gain from policy change.
- They may group in coalitions, durable or temporary (related to a specific issue).

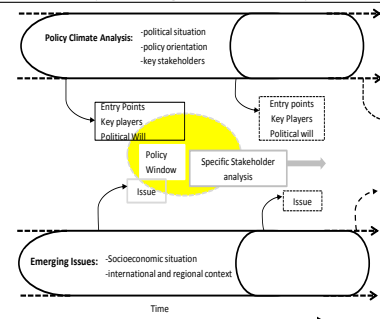
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International and regional policy agenda



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Policy Intelligence and Preparedness



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Benefits and beneficiaries of PIP

Information on the four major dimensions relevant to policy making that can lead to:

- Greater transparency and inclusiveness of policy processes and decision making that can help to empower the powerless.
- Understanding strategies of key actors and anticipate their on impact on agenda setting.
- Strengthening capacity and sharpening positions on emerging issues.
- Creating opportunities for coalitions.

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Some tools for PIP

- Force Field Analysis (FFA)
- Strategic Governance and Corruption Analysis (SGACA)
- Context analysis and citizens' voice and accountability
- Drivers of change
- Power Analysis
- Stakeholder Analysis
- Alignment, Interest and Influence Matrix (AIIM)
- Influence mapping

Violet Kirigua

Context analysis and citizens' voice and accountability

- **Political and institutional framework and actual operation:** - Analysis of the legal and economic structures and institutions and how this affects different population groups.
- **Mapping and key features of main actors:** - Analysis of the main actors, and extent/reason of their alignment with government.
- **Social and political landscape:** - Analysis of the political landscape, including the alliances and sources of power, informal power structures and institutions religious groups, traditional institutions, informal economy networks, patronage and rent seeking arrangements, gender relations and culture.

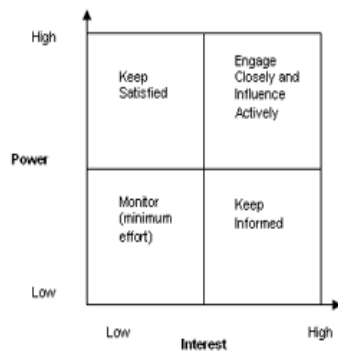
Drivers of change

Investigates how policies and institutional reforms aimed at poverty reduction come about, how they develop and, crucially why they are sometimes blocked - in order to identify factors that are likely to create the necessary incentives for change.

Key questions:

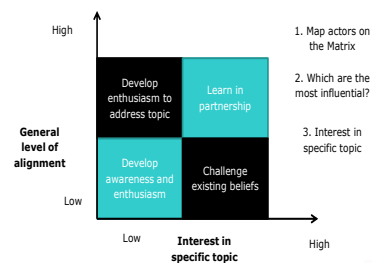
- **Basic country analysis** - covering the social, political, economic and institutional factors affecting the dynamics and possibilities for change.
 - *Medium-term dynamics of change*
 - *Role of external forces*
 - *Link between change and poverty reduction*
 - *Operational implications* - covering how to translate understanding into strategies and actions.

Stakeholder Analysis (2)



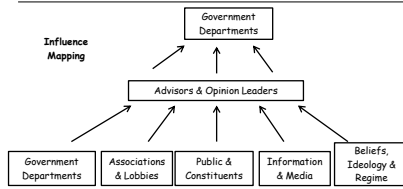
Alignment, Interest and Influence Matrix (AIIM)

The AIIM maps the position of each stakeholder on a matrix depending on their current behaviour against the level of alignment of the actors with the policy entrepreneur's approach or views



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Influence mapping



Identifies the individuals /groups with the power to effect a key decision. It investigates the position and motives of each player and the best channels through which to communicate with them.

The distance from the bottom represents how influential the factor is and, critically, the route by which this influence reaches the decision-maker.

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PIP

- Incorporates
 - "Soft" skills (facilitation, negotiation, understanding the political and social context).
 - High quality knowledge-based content and advice aiming at changing people's mindset (dissemination of research results, capacity development).

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PIP

- Incorporates
 - "Soft" skills (facilitation, negotiation, understanding the political and social context).
 - High quality knowledge-based content and advice aiming at changing people's mindset (dissemination of research results, capacity development).

Policy strategies and tools

	Policy-influencing strategies
From <i>policy dialogue</i>	1. Pilots
	2. Collaboration
	3. Public education and media
...	4. Research
.....	5. Persuasion
... To ...	6. Organisation and constituency-building
...	7. Empowerment, strengthening people's confidence and power
.....	8. Protests
<i>activist advocacy</i>	9. Litigation, court case

Violet Kirigua

Policy Influencing Strategies

LOBBY
'Getting under their skin'
Personal
Win - Win
Long term relation

Networking
Personal visit
Informal contact
Lunch, drinks
By 'accident' in Lift
Personal letter to politician
Membership political party
Telephone

PUBLIC ACTION
Forcing policy maker
Using the public
Own interest

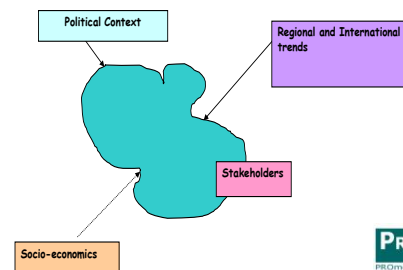
Open letter in newspaper
Research
Evaluation
Demonstration
Info campaign
Civil education
Awareness raising
Support campaign
Show Case Court
Press conference

ADVOCACY
Representing
On behalf of
Different interest
Accepted Formal
Joint solutions
Negotiating

Hearing
Expert meeting
Consultation
Policy formulation
Alternative policies
Petition

Policy influencing

- There are no **blue prints** and the analogy of the amoeba is used to describe policy as it is dynamic and keeps on evolving.



Policy influencing

Key points

- Be strategic (know the players and the game).
- Choose partners, methods and activities wisely.

Violet Kirigua



THANK YOU

PROLINNOVA
Kenya

PRoMoting Local INNOVation
in ecologically-oriented agriculture and natural resource management

Violet Kirigua

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ANNEX 5: MANAGING INTELLECTUAL PROPERTY IN PTD

<h3>Managing Intellectual Property rights in PTD</h3> <p><i>Presented during the workshop on capacity building for policy influencing within Prolinnova 19-20 May 2011.</i></p> <p>Presentation by: Paul M. Chege Senior Patent Examiner KIPI</p> <p>© paul M. chege 2011</p>	<h3>Objectives</h3> <ul style="list-style-type: none"> • Help the participants to: <ul style="list-style-type: none"> – understand the concept of intellectual property – Define the various categories of IP – Understand the importance of IP in and the linkage with innovation • Identify key IP issues in PID • Point out some strategies for dealing with IP issues attendant to PID
<h3>Introduction</h3> <p><i>...“the empires of the mind are the empires of the future”</i> <i>“Winston churchill”</i></p> <ul style="list-style-type: none"> • Transition to Knowledge economy – emergence of intellectual capital (intellectual assets) • Knowledge economy demands: <ul style="list-style-type: none"> – Creation and good management practices of knowledge/knowledge assets – Value addition – continuous learning and innovation • The global divide – IP Exporters Vs IP importers • R&D outputs are becoming increasingly critical inputs in the innovation process in the endeavor to drive industrialization 	
<h3>Rationale for IP protection</h3> <ul style="list-style-type: none"> • Protect investment in innovation • Encourage innovation: <ul style="list-style-type: none"> – Through grant monopoly rights for a limited period. – Facilitate disclosure of knowledge 	<h3>The innovation process</h3>

Some Key Issues in PID













- How do you encourage farmers to bring forth their innovations/knowledge?
- How do you recompense the individual inputs?
- How do you safeguard the inputs during the early innovation (research) phase?
- Who should own the final product? Ownership of the IP created?
- In the event of commercialization (large scale deployment of the innovation) – how do you distribute the benefits













Some strategies













- Build trust – talks candidly, openly and involve the farmers in decision making (build ownership)
- Have a clear policy and explain to the farmers in advance.
- Explore and Negotiate sharing of benefits
- Put down memoranda of understanding/ MTAs or other agreements where necessary
- Address the issue of IP ownership and management of the IP upfront.
- Address IP in exit strategy

End

ANNEX 6: CURRENT STATUS OF THE SCIENCE, TECHNOLOGY & INNOVATION BILL







 <p>REPUBLIC OF KENYA</p> <h3>ST&I Policy for Kenya</h3> <p>By Said Hussein Chief Science Secretary, National Council for Science and Technology P. O. Box 30623-00100 Nairobi, Kenya. e-mail: husaid59@yahoo.com</p> 	 <h3>Scope of the Presentation</h3>  <p>Research Science Technology and Innovation</p> <ul style="list-style-type: none"> Do we have Science Technology & Innovation (ST&I) Policy Policy Making Draft ST&I Policy and Bill Vision 2030 & MTP 2008-2012 Sector policies in ST&I training institutions and Government Departments
 <h3>Policy Making in Kenya</h3>  <ul style="list-style-type: none"> Bureaucratic (PS or Directors in Ministries initiate and formulate for approval by Minister) <p>After mid 1980s</p> <ul style="list-style-type: none"> Policy by bureaucrat have to be approved by Cabinet and if it needs legislation then requires parliamentary approval accompanied by sessional paper. E.g. Legislation for agriculture, the Agriculture, Land and Nat Res Committee of parliament vets and processes it 	 <h3>Policy Making in Kenya</h3>  <ul style="list-style-type: none"> More inputs from private sector, civil societies, stakeholders hence making process more systematic, transparent and inclusive e.g. Economic Recovery Strategy for Wealth and Employment Creation (ERSWEC). More use of evidence based policy e.g KIPPRA, IPAR, Tegemeo Institute of Agricultural Policy and Development . <p><i>However process not efficient due to existence of ad hoc non coordinative leading to confusion and contradictory policies.</i></p>
 <h3>Best Practice Policy Making Core Policy Process-4 cycle</h3>  <pre> graph TD A[Problem comprehension (define outcome; identify relevant stakeholders)] --> B[Develop solution (collect evidence, appraise options and team work and consultation)] B --> C[Effect the solution (communicate policy and support those who will deliver)] C --> D[Assess and analyse the policy impact (evaluate success and correct failures)] D --> A </pre>	 <h3>Draft ST&I Policy and Bill. It proposes</h3>  <ul style="list-style-type: none"> KENYA NATIONAL TECHNOLOGY ACQUISITION OFFICE (KENTAO) for the promotion and coordination of technology acquisition, adaptation and diffusion; NATIONAL INNOVATION AGENCY (NIA) for stimulating and intensifying technological innovation and invention in order to improve economic growth and the quality of life for all Kenyans; NATIONAL COMMISSION FOR SCIENCE, TECHNOLOGY AND INNOVATION (NCST&I) whose mandate will be generation of advice, harmonization, coordination and dissemination of policies for research, science, technology; the promotion of research, ST&I for national socio-economic development; KENYA NATIONAL RESEARCH FOUNDATION (KENREF) whose key functions are mobilization, management and disbursement of funds for ST&I activities

 <p style="text-align: center;">ST&I Governance Framework</p>  <ul style="list-style-type: none"> • Create a coherent and focused legal, Institutional and regulatory framework to support the development of effective and sustainable science, technology and innovation • Promote the empowerment as well as full participation of women, youth and disadvantaged persons in all ST&I activities • Integrate ST&I into all sectors of the economy and encourage targeted research and innovation in key growth sectors of the economy. 	 <p style="text-align: center;">ST&I Generation and Management IPRs</p>  <ul style="list-style-type: none"> • Ensure that existing Intellectual Property Rights (IPR) regimes are judiciously enforced to provide impetus for the generation, protection and utilization of intellectual property by all categories of inventors, in particular community, Micro, Small and Medium Enterprises (MSMEs) to foster achievement of Kenya’s national development objectives.
 <p style="text-align: center;">ST&I Technology Development, Transfer and Diffusion</p>  <ul style="list-style-type: none"> • Support search, acquisition, development and application of modern and traditional knowledge and the utilization of the ensuing technologies in the formal and informal sectors of the economy. 	 <p style="text-align: center;">ST&I Human Resource Development</p>  <ul style="list-style-type: none"> • Provide an enabling environment for building a critical mass of human resource, to harness and effectively participate in the application of science, technology and innovation for value addition activities, creation of new products and services based on enhanced productivity.
 <p style="text-align: center;">ST&I Education Training and Research</p>  <ul style="list-style-type: none"> • Promote creativity and learning by discovery through a participatory approach • Promote attitudes receptive to ST&I among all education stakeholders • Promote appropriate science, engineering and technology (SET) skills at various levels of education and training • Re-enforce its commitment to targeted transformational research aimed at generating new ideas and putting into perspective those already developed to address the Kenya’s strategic priorities. 	 <p style="text-align: center;">ST&I ST&I Infrastructure</p>  <ul style="list-style-type: none"> • Create an environment for the strengthening of supportive physical infrastructure for science, technology and innovation; • Support establishment of efficient ICT infrastructure to ensure speedy, secure and cost effective access to information;

 <p>ST&I Collaborations and Partnerships </p> <ul style="list-style-type: none"> • Encourage and support collaborative, multi-disciplinary scientific research in academic, scientific and engineering Institutions. • Promote close and productive interaction between private and public Institutions in existing and emerging issues in ST&I. • Promote regional and international cooperation and collaboration in science, technology and innovation specifically targeted towards achieving the goals of international relations, national development and security. 	 <p>ST&I Indigenous Resources and Traditional knowledge (IRTK) </p> <ul style="list-style-type: none"> • Exploit the full potential of science, technology and innovation to protect, preserve, evaluate, update, add value to, and utilize the extensive indigenous resources and traditional knowledge available in the formal and informal sectors of the economy for enhanced livelihoods from various Kenyan communities;
 <p>ST&I Funding Measures and Mechanisms </p> <ul style="list-style-type: none"> • Secure adequate funding streams for the various science, technology and innovation components to facilitate implementation of the policy objectives and achievement of the intended outcomes 	 <p>VISION 2030 & MTP 2008-12 </p> <ul style="list-style-type: none"> • The successful implementation of Kenya <i>Vision 2030 and especially this First Medium Term Plan will be anchored on a number of cross-cutting factors and themes....these factors also called enablers, include the central role to be played by an improved and expanded national physical infrastructure including, the roads and railways network; water and airports; ICT, as well as the overarching role of Science, Technology and Innovation (STI).</i> • The knowledge base it produces provides an important ingredient for the policy development process to reduce risk and improve outcomes, but it is not a substitute for the process . • Gives the best available objective evidence from research to identify and understand issues so that policies can be crafted by decision makers that will deliver desired outcomes effectively, with a minimal margin of error and reduced risk of unintended consequences.
 <p>Kenya Vision 2030 Medium Term Plan for 2008 to 2012 </p> <p>Major ST&I Challenges at present include:-</p> <ul style="list-style-type: none"> ■ Need to ensure sustained development of human resources within the realm of science and technology ■ Need to efficiently harness available natural resources in a sustainable way for the benefit of all Kenyans ■ Ineffective coordination and lack of critical resources and infrastructure to develop and integrate ST&I ■ waning interest in science among youth thus leading to a rapid ageing of the workforce in the public research sector ■ obvious gender gap among Science and Technology graduates (notably at the doctorate level) with male students forming a large majority ■ Inadequate funding for R&D ■ Lack of research-industry linkages and technological transfer. 	 <p>Sectorial Policy </p> <ul style="list-style-type: none"> ➤ Agriculture and Livestock ➤ Water and Energy ➤ Environment and Natural Resource ➤ Education and Governance

ANNEX 7: “DEFINING THE PROBLEM IN POLICY INFLUENCING PROCESSES

<p>What is the exact problem?</p> <hr/> <p>Policy Influencing Workshop 19th - 20th May, 2011 ARC, NAIROBI <i>Violet Kirigua</i></p> 	<hr/> <ul style="list-style-type: none"> ○ Policy-influencing activities should eventually lead to a change in policy processes and their outcomes. In the case of PROLINNOVA, these should bring us closer to integrating participatory approaches in ARD. 												
<p>Questions??</p> <hr/> <ul style="list-style-type: none"> ○ What is preventing a more substantial mainstreaming of participatory innovation development in our context? What are main constraints? ○ What specific policy do we wish to focus on at this moment in time and how do we translate or operationalize our general messages within this policy process? ○ What are the real bottlenecks in the <i>case of the chosen issue</i> that prevent our messages to be taken seriously and accepted? 	<p>Why is there not an effective policy?</p> <hr/> <ul style="list-style-type: none"> ● What is the exact bottleneck? ● Who is the crucial policy maker? ● What influences the policy maker? ● What do we want the policy maker to do? 												
<p>Bottle necks - causes</p> <hr/> <table border="0"> <tr> <td>○ Political priorities</td> <td>○ Wrong policies</td> </tr> <tr> <td>○ No political will</td> <td>○ Lack of means (resources, capacity etc.)</td> </tr> <tr> <td>○ No policies</td> <td>○ Issues in implementation</td> </tr> <tr> <td>○ Cabinet agenda</td> <td>○ Involvement of practitioners</td> </tr> <tr> <td>○ Legislative agenda</td> <td>○ No engagement with issue</td> </tr> <tr> <td>○ Election cycles - every thing stops</td> <td>○ Bureaucracy</td> </tr> </table>	○ Political priorities	○ Wrong policies	○ No political will	○ Lack of means (resources, capacity etc.)	○ No policies	○ Issues in implementation	○ Cabinet agenda	○ Involvement of practitioners	○ Legislative agenda	○ No engagement with issue	○ Election cycles - every thing stops	○ Bureaucracy	<p>Summary of the Challenges - Group Work</p> <hr/> <ul style="list-style-type: none"> ○ Lack of buy-in. ○ Lack of capacity/knowledge to influence policy. ○ Lack of forums to communicate with policy makers. ○ Lack of synergy among institutions involved in local innovation initiatives. ○ STI council still think innovations in terms of classical definition.
○ Political priorities	○ Wrong policies												
○ No political will	○ Lack of means (resources, capacity etc.)												
○ No policies	○ Issues in implementation												
○ Cabinet agenda	○ Involvement of practitioners												
○ Legislative agenda	○ No engagement with issue												
○ Election cycles - every thing stops	○ Bureaucracy												

 <h3>Summary of Challenges (2)</h3> <ul style="list-style-type: none"> ○ Local innovation forced into classical innovation. ○ Attitude and understanding towards local innovations. ○ Apathy from stakeholders who should influence policy. ○ Lack of synergies in institutions concerned with local innovation. ○ Poor mechanisms within institutions to support local innovation. 	 <h3>Bottle necks !</h3> <ul style="list-style-type: none"> ○ Are these the biggest bottlenecks hindering effective policy influencing?
 <h3>The Message!</h3> <ul style="list-style-type: none"> ○ Is it clear? ○ Why are the issue seen as a problem? ○ How do they link with the wider sector issues? What is behind the problem mentioned? ○ Are the challenges related to policy formulation of implementation? ○ Have we clearly defined the objective of the policy dialogue. 	 <h3>Case Study (1)</h3> <ul style="list-style-type: none"> ○ For example, if in an institution "X" the main challenge is perceived as institutionalizing farmer-led approaches in agricultural research, one can imagine the following line of discussion: ○ Why is institutionalizing farmer-led approaches in institution "y" difficult? Is it because people are not interested in them. And why are people not interested? ○ What is the reason behind that? Is it because they are not rewarded for all the work they do directly with farmers?
 <h3>Case Study (2)</h3> <ul style="list-style-type: none"> ○ Then is the problem the fact that people do not want to work with farmer-led research, or that they are not rewarded for it? They are willing, but need the credit points, publications etc. ○ And can't we then try to influence the way organization "y" rewards its employees? ○ We can try, but this is very hard to change... especially because people in the driving seat are not familiar with and do not see the advantages of being involved in farmer-led research. ○ Can't we then try to influence directly the way these people "at the top" work? etc... 	 <h3>What is Prolinnova's main message!</h3> <ul style="list-style-type: none"> ○ The overall concern of PROLINNOVA is the decisive role that men and women farmers are potentially able to play (if given space) in agricultural research and development for sustainable livelihoods. (<i>PROLINNOVA Mission Statement</i>). ○ To be effective in policy work, we need to be very clear what we are lobbying for.

 <h2>Prolinnova</h2> <hr/> <p>Calls for:</p> <ul style="list-style-type: none"> ○ Recognition and respect for farmers' own innovative capacities and the relevance of local innovations for addressing agricultural and natural resource management (NRM) problems; ○ Research and development agents to work together with farmers, and bring local innovation and science together in a process of joint experimentation; ○ Governmental and non-governmental/civil-society organizations involved in agricultural research and development (ARD) to work together, build institutional partnerships and make use of each other's strengths. 	 <h2>Prolinnova</h2> <hr/> <p>Specifically calls for:</p> <ul style="list-style-type: none"> ○ Putting <i>resources</i> for ARD closer to or in the hands of farmers as a means of accelerating local innovation and adaptation processes; ○ ARD efforts that benefit also the resource-poor farmers; ○ ARD to take seriously the important role of particularly women in local innovation; ○ Ecologically oriented and sustainable forms of agriculture and NRM, achievable only through working closely with farmers, particularly farmer innovators.
 <h2>So what is the message?</h2> <hr/> <ul style="list-style-type: none"> ○ What is the relevance of local innovation and participatory innovation development to other major trends or policy areas such as food security, climate change and biodiversity management. ○ Why is the present policy inefficient (or inexistent) <p>These aspects help in formulating the message we want to put across and the main expected outcome of our policy influencing and assistance effort.</p> <p>What is your pitch!</p>	 <h2>In Summary (1)</h2> <hr/> <p>Consider the following</p> <ul style="list-style-type: none"> ○ Message: Is their clarity on your message, and is their enough evidence to support it? ○ Timeliness: Do key people feel a need for change? ○ Capability: Do the people who are involved have sufficient skills, enthusiasm and possibilities to take part in policy influence activities? ○ Influential Organization: Is their an organization with considerable (local) influence, which is also willing to join the work?
 <h2>In Summary (2)</h2> <hr/> <ul style="list-style-type: none"> ○ High level support: Are there at least some key institutional leaders interested in the change you propose? ○ Expectation of reward: Is their reasonable hope that work will lead to significant changes of policies? ○ Learning Mechanisms: Are you prepared to make the most of what comes of these activities, whether they are a success or a failure 	 <h2>Conclusion</h2> <hr/> <ul style="list-style-type: none"> ○ Once the message is clear and the target audience has been identified, then proceed to identify the strategies and activities to reach these people?

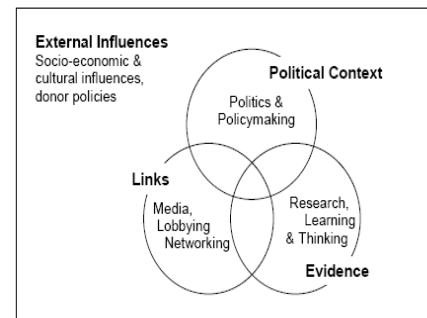
ANNEX 8: UNDERSTANDING THE POLICY CONTEXT

<div data-bbox="297 243 821 365" data-label="Image"> </div> <div data-bbox="310 426 802 548" data-label="Section-Header"> <h3>UNDERSTANDING THE POLICY CONTEXT</h3> <p>Presenter: PAMELA MARINDA, PhD</p> </div> <div data-bbox="422 600 662 663" data-label="Text"> <p>POLICY INFLUENCING WORKSHOP 19- 20 MAY 2011 VENUE: AIC; NAIROBI</p> </div>	<div data-bbox="922 243 1451 317" data-label="Section-Header"> <h3>STRUCTURE OF THE PRESENTATION</h3> </div> <ul data-bbox="927 338 1411 554" style="list-style-type: none"> • The Policy Context • Policy Level; Stakeholders and relationships between them • Modalities for influencing policy at various levels • Identifying the entry points
<div data-bbox="269 758 850 842" data-label="Section-Header"> <h3>Understanding the Policy Context</h3> </div> <ul data-bbox="258 852 862 1247" style="list-style-type: none"> • Understanding of context and complexity of the policy process <ul style="list-style-type: none"> - Process should be effective, inclusive process - There should be space in the process for new evidence to come in • Key Questions: <ul style="list-style-type: none"> - What is the major concern? Poverty? Food Security? IPR? - What is the challenge to be dealt with? - Is the policy process open and the information needed easily available, or is first challenge to open up the process? - Is the government context highly democratic where participation is welcomed, or one where political engagement actually carries substantial risk? • Not a one-off event, but a long term process 	<div data-bbox="922 758 1451 831" data-label="Section-Header"> <h3>Political and System Dynamics</h3> </div> <ul data-bbox="911 835 1463 1163" style="list-style-type: none"> • The Institutional Dynamics of the Policy Making Process <ul style="list-style-type: none"> What are the institutions within government that most shape policy? • Access to Information <ul style="list-style-type: none"> What information is available? And when is it available? • Access to the Process <ul style="list-style-type: none"> What are the formal and informal opportunities for CSOs and citizens to engage in the policy process? • Power Dynamics between Various Stakeholders <ul style="list-style-type: none"> Who wields influence in the policy process? government officials? interest groups, the media, & others? <p>The Broader Context: Socioeconomic Situation; Prevailing Customs and Values</p>
<div data-bbox="269 1335 826 1419" data-label="Section-Header"> <h3>The Policy Cycle</h3> </div> <div data-bbox="293 1440 821 1780" data-label="Diagram"> </div> <div data-bbox="272 1808 282 1822" data-label="Text"> <p>5</p> </div> <div data-bbox="716 1814 844 1835" data-label="Text"> <p>(Young and Quinn, 2002)</p> </div>	<div data-bbox="922 1335 1451 1388" data-label="Section-Header"> <h3>Policy Intelligence and Preparedness (PIP)</h3> </div> <p data-bbox="935 1394 1422 1444">PIP creates understanding of how the actual policy process is working and what the potential areas of intervention are</p> <div data-bbox="980 1461 1422 1766" data-label="Diagram"> </div>

Policy Intelligence and Preparedness (PIP) –(2)

- PIP helps
 - to assess the political “mood” and context
 - to assess existing capacity of various stakeholders
 - Assess the socio-economic situation
 - Understand the international policy agenda

Context, evidence, links framework



o Based on ODI's RAPID methodology

Policy Levels and the Stakeholders

– At global and regional levels e.g.
World Summit on Food Security, World Trade Organization,
International NGOs, PROLINNOVA International, NEPAD



– At national and sub-national levels
e.g. relevant ministries , research institutions,
Civil society, Universities, local NGOs, CBOs etc



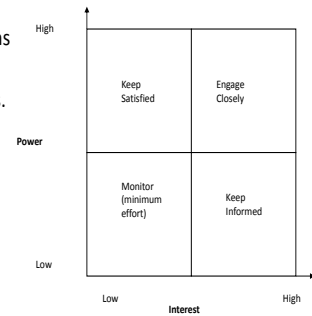
Stakeholder Analysis (1)

Why:

- To understand who gains or lose from a policy
- To help build consensus.

Steps:

1. Identify Stakeholders
2. Analysis Workshop
3. Develop Strategies



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Stakeholder Analysis (2)


Key Questions to be addressed:



- Who are the stakeholders / actors ?
- What is the nature of their actions?
- How do they relate to each other?

Critical questions

- Who?
- Says what?
- To whom?
- By what channel?
- To what effect?
- Why?



<p>How do stakeholders relate to each other ?</p> <p>Is there a gap?</p> 	<p>Policy makers' views vs researchers' views</p> <ul style="list-style-type: none"> • 'the research is never there when I need it' • 'but what do I do?' • 'I don't understand what it all means' • 'great ideas, but where's the money coming from?' • 'they never listen to the evidence' • 'I don't understand how they developed that policy' • 'I can never get to talk with them' • 'they want simple answers to complex problems'
<p>Linear or Rational Model (top-down process)</p> <ul style="list-style-type: none"> • "Rational" actions, "experts" play the key role, public is passive, labeled as ignorant • Scientists, neutral observers, explain and assess policy related "facts", not values • Policy makers decide and prescribe policy actions based on the "truth" of science 	<p>Technocratic Version of the Linear Model</p> <p>In highly politicized and clientelistic environments,</p> <ul style="list-style-type: none"> • policy makers may: <ol style="list-style-type: none"> a) look for science generated tools as valid, reliable, relevant and objective means to avoid "interference" b) mimic such tools through technically correct, efficient and effective policy instruments • Stakeholders may distrust policy actions and/or ignore programs
<p>Bottom-up Process</p> <ul style="list-style-type: none"> • Policies as courses of action, part of on-going processes of negotiation and bar-gaining between multiple actors over time • Emphasis on agency of different actors across multiple "interfaces" and in their day-to-day dealings with policy issues 	<p>The "Mutual Construction" of Science and Policy</p> <ul style="list-style-type: none"> • Science frames the basis for debate about issues; policy debates and popular concerns influence the way scientists working on the "interface" frame the research problems • Science as constructed knowledge, result of competition between groups • Policy as dialogue: power, unequal access to resources and decisions, institutional context

<p style="text-align: center;">Identify influencers</p> <ul style="list-style-type: none"> • Who makes decisions? • How are decisions made? • Who influences policy makers? • What is the time-frame? • What are key moments? <ul style="list-style-type: none"> – understanding the rules of the game enables you to become a player. 	<p style="text-align: center;">Who are your friends?</p> <p>Key Questions:</p> <ul style="list-style-type: none"> • Who could be our allies? Are they after the same goals? • What is the added value to others of cooperating with you? • Would cooperation normally be smooth or is their potential for conflict? • What will be the reaction of those who do not agree with your approach what will they say and how will they react? • How can you pre-empt their reaction?
<p style="text-align: center;">Identify and understand your opponents</p> <ul style="list-style-type: none"> • Who are they? • What are their reasons? • What are their interests? • What strategy are they likely to adopt? • Can you dialogue with them? • Do you have good counter-arguments? 	<p style="text-align: center;">How to go about it?</p> <ol style="list-style-type: none"> Selecting influencing strategies Possible methods and tools Planning (defining indicators, task division, time table, etc.) <div style="text-align: center;">  </div>
<p style="text-align: center;">Bridging the gap</p> <div style="display: flex; align-items: center;"> <div style="flex: 1;"> <p>Use effective communication to influence the policy process</p> </div> <div style="flex: 1;">  </div> </div>	<p style="text-align: center;">Modalities at Global and Regional Level (1)</p> <ul style="list-style-type: none"> – Actor in global and regional fora where policy research occurs and policy narratives are developed (conferences, seminars, networks) – Member of global and regional arenas where policy statements, conventions and agreements are drafted <ul style="list-style-type: none"> – flagship publications – thematic reviews and studies – advocacy – media – tools

<p style="text-align: center;">Modalities at global and regional level (2)</p> <ul style="list-style-type: none"> - Policy advocacy - Policy reviews and studies - Policy projects - Field level pilots - Capacity development - Think tanks and research institutes 	<p style="text-align: center;">Modalities at National Level</p> <ul style="list-style-type: none"> - Policy advocacy - Policy reviews and studies - Policy projects - Field level pilots - Capacity development - Think tanks and research institutes
<p style="text-align: center;">SUMMARY</p> <ul style="list-style-type: none"> • Important to understand the policy context and the different levels of policy influence • Important to get to know stakeholders: potential supporters and allies, including the media, donors and key networks; those that are like minded and how they relate to each other • An effective communication strategy needs to be developed in order to influence policy and address needs of various stakeholders/actors 	<p style="text-align: center;">Thank you for participating!</p>