TheScinnoventCentre
SCIENCE, INNOVATION AND ENTERPRISE

SCIENCE GRANTING COUNCILS INITIATIVE SGCI IOSRS INITIATIVE DES ORGANISMES SUBVENTIONNAIRES DE LA RECHERCHE SCIENTIFIQUE

The art of

Influencing Policy Change

A Training and Reference Manual

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Contents

Introduction

This training manual seeks to support the African Science Granting Councils (SGCs) and other stakeholders in science, technology and innovation (STI) in building their capacity to understand and apply the approaches, tools and strategies for influencing policy change. It highlights and emphasizes (i) the key concepts and principles of policymaking – including evidence, conflicts, processes and terminologies (ii) instruments and tools of influence (iii) strategies for designing and writing effective policy briefs and (iv) the big debates surrounding policy influencing such as the role of the media, gender, politics and advocacy.

Policies shape the behaviour, habits and practice of actors. The nature of the policy environment determines whether the different actors will engage in or shun innovation. Besides, the policies and institutions which they create perform other system functions including: channeling information about markets, products and participants/ stakeholders; defining and enforcing property rights, contracts and resource allocation and facilitating competition (for details, see box 2.1 – what do institutions do? in the book "*Beyond Research*").

Often the link between policy makers and other system actors is weak and the researchers are unlikely to influence their decisions (see the chapter on Dissecting the research – policy gap in "*Beyond Research*"). Where strong linkages exist between researchers and policy actors are likely to promote the development of evidence-based policies and create a policy environment that supports and facilitates innovation.

The primary challenge, therefore, is to continuously improve the policy and institutional environment, and make it more supportive of innovation. This is always a difficult task considering the different competing interests that policymakers must address. To shape the direction of innovation, researchers need to convince policymakers about the policy choices and options they advocate for. These policy choices in turn need to be supported by evidence generated from policy research and/or analyses.

While research evidence is a major component of policy change, it is hardly adequate to influence policymakers. Building consensus among policy actors; analyzing the political context; designing and applying various tools of influence such as policy briefs; and situating the policy advice within the developmental context and broader international debates is important to achieving the desired changes.

The training manual is meant to be both a curriculum and facilitator's guide and has been developed to support the cascading of this training by SGCs and other actors at the country level. The design, presentation, and content are intended to support customized, self-use by facilitators. They are also geared toward supporting African SGCs in developing the capacity of African professionals/practitioners/ researchers to understand and apply various tools in influencing policy change, particularly policy briefs. The expected outcome is the enhanced quality of policy advice and influencing policy change.

Target audience

This manual and the training program – *"The Art of Influencing Policy Change"* is targeted at both the organizational and individual level.

1. At the organizational level, it targets the Science Granting Councils (SGCs) and other system actors including national, sub-regional or regional organizations involved in science, technology and innovation policy advice; research and development; education and training, outreach / diffusion/knowledge uptake.
2. At the individual level, it targets practitioners/staff within the national or regional organizations in (1) above and researchers/students at the universities and research institutes.

Specific Objectives

The training program has three specific objectives:

1. To increase understanding of the policy influencing concepts; their application and relevance to the STI in Africa.
2. To develop the technical, analytical, and leadership skills of African professionals/ researchers and practitioners and their ability to train others.
3. Improve the interface between different actors in the STI system by enhancing information and knowledge flows and shared learning.

Overall Objective

The training program in this manual is the first stage in strengthening the capacity of the SGCI participating countries towards better STI policy development and implementation. Its main objective is to develop the capacity of African professionals/practitioners/ researchers to understand and apply various tools and approaches to influence policy change – particularly policy briefs.

Expected Outcomes

The ultimate goal is to improve the quality of policy advice. After the training, participants should have improved knowledge and skills to:

- Lead training workshops on "the art of influencing policy change" at the country level.
- Facilitate multi-stakeholder workshops on science, technology, and innovation systems.
- Facilitate interactive learning processes to strengthen the national STI system, enhance information/knowledge flows, and influence policy.

About the training manual

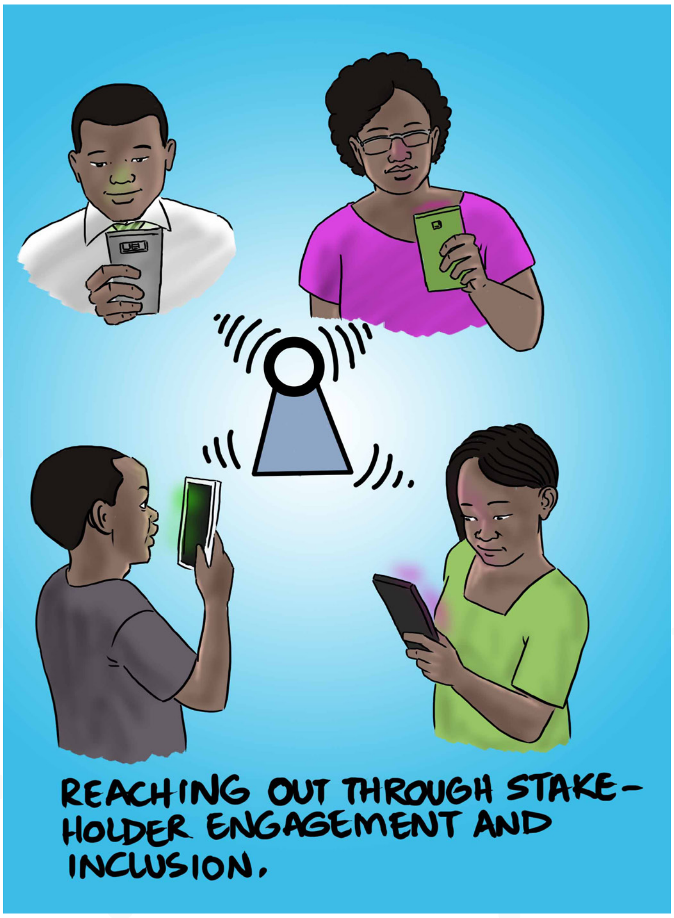
This training manual is organized into four sections:

Section one deals with the training workshop including the curriculum, implementation notes and strategies; and resources and activity guides.

Section two highlights post-training activities including piloting the skills developed through a policy project/case-study; on-site coaching, and mentorship.

Section three provides a technical guide to facilitators to enable customization and self-use.

Section four deals with impact assessments and course evaluation.



Section 1
Training Workshop

Training Workshop

This training workshop is designed as a customized learning experience. It is intended to enhance individual and organizational capacities to understand and apply various tools, techniques, and approaches in influencing policy change. Conceived as a highly participatory workshop, it introduces the fundamental principles of policymaking and policy influencing at internal (SGC) and external levels (with other actors). The workshop also equips participants with the necessary skills to develop actionable implementation plans and write effective policy briefs.

Course methodology and approach

The training course is targeted at:- (i) researchers and postgraduate students in bio-physical and social sciences; (ii) mid and senior-level policymakers in diverse ministries (e.g. those focused on promoting science, technology, and innovation including but not limited to: industrial development, development planning, higher education, health, agriculture, environment); (iii) research managers/ administrators in innovation intermediary organizations e.g. technology transfer offices at universities, incubators, or cluster development organizations; (iv) science communicators/ knowledge managers and people who work with media organizations.

The course design comprises a short executive format that can be successfully delivered in three days. The three-day capping is informed by cost considerations and more importantly, by the fact that getting senior participants out of their busy schedules for longer than three days would be challenging.

The course approach involves:

(i) A pre-training capacity assessment to gauge participants' level of competence; any prior experiences with policy influencing and preferred areas of emphasis.

The assessment results are analyzed and shared with the participants before the training. The tools to assess individual and organizational capacity can be accessed in the book "*Beyond Research*".

(ii) The course employs mixed methods, including interactive lectures, individual assignments, group work sessions, plenary Q&A sessions, guest lectures, and multi-media presentations. The assignments provide opportunities for self-evaluation and allow for sharing experiences in groups, which is important to stimulating learning amongst adult learners.

By providing guest lectures the course features senior policymakers, researchers, and experts in various fields. These bring the practitioners' perspectives into the discussion thus helping to ground the training in real life experiences.

(iii) Case studies of policy development processes and policy influencing, as well as lessons arising from such processes are presented, discussed, and analyzed during the course. These help bring contemporary examples into the course. This approach ensures that the suggestions are contextual and build on participant experiences to determine effective strategies for the future.

(iv) During the last day of the course, participants are engaged in an action planning process in their respective sectors and supported in making their own follow up action plans. The action plans help determine the individual or institutional follow up support needed including coaching and mentorship.

(v) Finally, the lecture presentations, the guest speakers' notes and speeches, the group work reports, the action plans and the multimedia presentations are used to update the training reference manual and guidelines for influencing policy change. The manual is made available to all the participants in the course for future reference.

Key Concepts

The course consists of a series of lectures and working group sessions that address specific issues discussed in lectures. Participants also deliberate on case studies, exercises and assessments that reinforce learning. During the training emphasis is placed on the following key concepts:

- Facilitating multi-stakeholder processes
- Policy, policymaking and policy influencing
- Strategic communication, knowledge uptake
- Knowledge management and information flows
- Conflict resolution and management
- Participatory techniques and approaches

Course Content

The training workshop covers the following:

- Key concepts and principles of policymaking and policy influencing.
- Role of evidence in policy
- Interests and conflicts
- Multi-stakeholder processes and practices
- Tools of influence
- Advocacy and public engagement.
- Inclusivity and participatory approaches

Workshop Methodology

- Plenary and working group sessions
- Guest lectures (practitioner-led)
- Use of concrete case studies/exercises
- Individual assignments, self-assessments and activities
- Development of personal/organizational action plans
- Field visits to a policy institution/government agency
- Role plays and other training approaches and techniques

Box 1: Pre-training capacity assessment

Pre-training capacity assessment (individual or organizational)

This assessment will depend on the composition of the trainees. If it is a group of individuals with diverse backgrounds and from different organizations/countries then the individual capacity assessment tool in the book *"Beyond Research"* should be administered, results analyzed and presented.

If on the other hand, the training is customized to the needs of a specific organization, then organizational context analysis should be used instead. See the book *"Beyond Research"* for organizational capacity assessment tool.

These pre-training assessments provide baseline data for tracking and evaluating changes in learning and the effectiveness of the training. As the training progresses and at the end of training, a similar assessment (alongside other evaluation tools) is used to gauge changes in knowledge (awareness), understanding (competencies) and ability to apply (capabilities).

Setting the ground rules:

Expectations, objectives and house rules

Fears and expectations

At the beginning of the workshop participants are asked about their fears and expectations or learning objectives. Participants write these on cards (rules: one card-one idea, write bold, use key words) and stick them on the wall. At the end of the workshop people take down the cards representing what has been achieved (e.g. expectations fulfilled or learning objectives achieved). The cards that are still on the wall are then discussed, mainly to understand why the objectives have not been achieved and what could be done to address them.

Workshop objectives

On day 1, the workshop objectives are presented. On the last day the participants are requested to fill in a final evaluation form in which they evaluate the extent to which the workshop objectives were achieved.

Time management and house rules

Every morning and afternoon a timekeeper and a chairman are elected. The chairman is in charge of the process (e.g. managing question and answer sessions etc.), while the timekeeper is expected to manage the time during sessions, and lunch and coffee breaks.

Unanswered questions

If participants ask questions that (1) the trainer does not have a ready answer (2) will be discussed in a module on a following day, the question can be written on a card and stuck on the wall. At the end of the workshop, a review will be conducted to check whether all the questions were answered.

Target participants

This three-day workshop is designed for individuals who work on science, technology and innovation issues across different sectors. Participants need not have prior experience on policy influencing and multi-stakeholder processes, although it may be useful. Participants can range from mid to senior level managers. A group of 25 to 30 participants is an ideal size for two to three facilitators to effectively manage discussions and group work. A group of no more than 30 participants at a time is recommended.

Core attributes/profiles of participants

Participants are expected to have:

- Strong technical background (university trained in a relevant field; postgraduate qualification is an added advantage)
- Demonstrated good leadership qualities and the enthusiasm to train others
- Flexibility, openness to new ideas and a willingness to learn
- Demonstrated capacity in and/ or exposure to policymaking, policy research and analysis
- Experience with participatory approaches, multi-stakeholder processes, policy processes, training, research or facilitating learning process.

Sample training program outline

Day 1: Morning Session 1

Session 1: Policy narratives, context and analyses

Presentation 1: Definitions, terminologies and shared understanding

This plenary presentation and facilitated discussion seek to establish a shared and common understating amongst the participants on the key principles and terminologies that they will meet during the course. It builds on the capacity assessment in the preceding session and ensures that all the trainees are 'on the same page' as far as the language and understanding of terms is concerned.

Participants are encouraged to read the five policy narratives presented in the book "*Beyond Research*." The facilitator then leads a plenary brainstorming session and guides the participants in answering questions along these lines:

- What is the policy issue in this narrative?
- Why is it a policy issue?
- What changes are required to make things better? (legal, institutional, organizational, structural, capacity etc.)
- Who is supposed to make these changes? Whose immediate responsibility is it to effect the changes?
- How would you cause the changes to be effected? What tools, approaches and strategies would you apply to reach your goals?

Presentation 2: Bridging the research – policy gap: what role for researchers?

This presentation will explore the existence of gaps between research and policy and what researchers can/should do to bridge these gaps. It is intended to be an interactive presentation lasting about 30 minutes.

Day 1: Morning Session 2

Presentation 3: Context Analyses: A framework for action

This presentation will analyze the context of research-policy interactions and provide participants with a framework for action including what they need to know/consider and how to address them. The presentation will be interactive and should lead to either a group work session or individual exercises. Based on the pre-training assessment/evaluation, the facilitators will decide which of the two is more appropriate.

Exercises/case studies/working groups

Day 1: Afternoon

Session 2: Role of evidence in policymaking

Presentation 4: Evidence based policymaking

[an interactive presentation, will consider the types, weight and the role of evidence in influencing policy change]

Presentation 5: Getting research into policy

[an interactive presentation] Role play/case study – contested nature of policymaking: interests, conflicts and consensus

Day 2: Morning

Session 3: Policy instruments and tools of influence

Exercise 3.1 based on actual policy briefs

Presentation 6: Designing and writing policy briefs *[interactive presentation followed by group exercise on policy briefs and plenary]*

Policy brief structure (in the book "*Beyond Research*")

Writing session/Individual exercises 1: Participants begin writing policy briefs from their own research.

Day 2: Afternoon

Peer critique session 1: participants exchange policy brief drafts and get feedback from peers and facilitators.

Individual exercise 2: participants revise their drafts based on peers' critiques.

Peer critique session 2: second drafts reviewed by peers (same reviewers) to check if comments have been addressed.

Feedback session: In plenary, participants share their experiences with the writing and review process.

Day 3: Morning

Session 4: Policy advocacy and engagement

Presentation 7: Influence mapping

[interactive presentation and group work, leading to plenary]

Presentation 8: Policy entrepreneurship

[Interactive presentation and individual exercises and plenary]

Day 3: Afternoon

Session 5: Policy evaluation and impact assessment

Closing: Course evaluation

End of Training

Annex 1

Policy brief review guidelines

Title:

- Is it ‘catchy’ enough?
- Does it tell you what the policy brief is about?
- Can you tell, without reading the document, what is required?

Executive Summary:

- If this is all you had time to read, does it give you answers to the following:
- What is the issue/problem?
- How big is the problem (magnitude)?
- What is/are the solution(s)?
- What action should be taken and by whom?

Introduction:

- Does it set the context well enough? Does it situate the study within the overall developmental context of the country?
- Is the focus on the economy, people, livelihoods etc well addressed? i.e. real-life challenges.
- Does it say who is affected, where and the magnitude? (how much, how many?)
- Does it say what will happen if the situation persists?

Background and Methodology:

- Does it say what methods were used in collecting the data/conducting the study?
- Is there a justification on why this approach was the best under the circumstances?
- Does it describe the setting of the study? i.e. where it was conducted?

Recommendations/Discussions

- What are the results and why are they significant?
- How do they compare with similar/previous studies elsewhere?
- Does this section refer to the opinions/other research from lead thinkers in the field?
- How do the findings relate to the real-life problems outlined in the introduction?

Implications/recommendations

- How many recommendations are given? (Ideally, there should be no more than three)
- Are the recommendations supported by the evidence presented?
- Are they actionable? Would you know what to do without further consultations/references?
- Do the recommendations say who should take what action? Is the target audience expressly identified?

References and other resources:

- Are references clearly outlined?
- Are links to other resources given e.g. Moi University, SPH website?
- Are contacts for the researcher/author given?

Language:

Are there any technical jargons used in the document that may confuse the non-specialist reader?

Annex 2

Tools of Influence:

Designing and writing policy briefs

Individual exercise 3.1

In preparing for this training course, it is understood that all the participants have conducted some research and/or published the findings of their research. It is also possible that some research may not be published already. This should not be a problem, so long as the researchers have conducted the work and have some findings. It is further understood that the participants would like to not only learn, but more importantly, practice the design and writing of actual policy briefs from their work. As such, this pre-training exercise is intended to start preparing the participants for this exercise. It is highly recommended that all the participants reflect on their research and write down answers to the following questions before the training starts. We shall refer to them during the training and participants may be asked randomly to share their responses to the questions.

Question 1: What is/are the developmental[1] relevance of my research/findings? What are the real-life impacts on the economy, people and society?

Think of this in terms of[2]:

- What does it mean for the economy? In other words, how much money will the country/county (or any other unit as may be relevant for your research) gain/lose as a result of implementation/non-implementation of your recommendations/findings?
- What does it mean for the society/impacts on people: in other words, how many people are affected/will be affected? Who are they (gender, age, demographics, etc)? Where are they (geographical locations/spread)?
- What does it mean for the environment (sustainability)? Pollution, biodiversity, natural resources etc
- What does it mean for wealth/employment creation? How many jobs will be created/lost? Who are likely to gain from this gain/loss? How will it affect the businesses/business community?
- What does it mean for democracy/governance? How will it shape/affect the political processes?
- What does it mean for the country's/county's relations with the international community/neighbouring countries/counties?

Question 2: Does my research/or its findings have policy[3] implications?

- Does it require someone to take any action? Make some decisions/choices? Change how things are currently done?
- In one sentence, describe the policy implication of your research (not more than 50 words).

1 For purposes of this exercise/training, we shall define "development" simply as "improvements in the quality of life"

2 Your research doesn't have to respond to all these, but at least one or some of them. If you feel it responds to a developmental outcome that is not mentioned above, feel free to add to the list

3 For this training/exercise, we shall define policy simply as "a course of action"

Question 3: In which of these four domains does my research/findings fall?

a) Seeking to influence the debate/ thinking around an issue e.g. does your research/findings introduce new aspects/ methodologies/approaches/theories etc to an existing issue? Will it change the current narratives/thinking/approaches on how the issue is currently handled?

b) Seeking to change/modify/improve the technical aspects of how programs4 are designed/implemented?

c) Seeking to change a particular specific policy/policy regime. If so, which one?

d) Seeking to enhance the capacity of policymakers to make better decisions? If so, how?

Question 4: Who/which office has the mandate/authority to make / implement the changes/actions you are recommending?

- This has to be very specific…where possible, name both the person and the office.
- They should have the authority/legitimacy to make/effect the changes/actions being sought
- They should have the power to allocate resources/or cause resources to be allocated to the specific issue
- Do we know their position on this issue? How much do they already know about this issue?

4 The programs will vary according to the field/disciplines/ sectors. In health, for example, these may include how particular diseases are handled e.g. vaccination regimes, maternity and newborn procedures, how drugs are administered etc

Question 5: Does my research provide enough evidence to support my recommendations?

- What kind of evidence do I have? Quantitative/qualitative/?
- How was this evidence generated? Surveys, case studies, other?
- How generalizable/replicable are my findings?
- Are there any contrasting/contradicting evidence on this issue? How will my research/ findings stand against such contrasting/ contradicting evidence?
- On the other hand, are there any other evidence complementing/supporting my findings?
- Who are the leading thinkers in my field? What is their opinions/findings in relation to my findings/recommendations?
- Where can the reader go to find more about this topic?

Question 6: What specific change/action am I seeking/ recommending?

- What are the other alternatives?
- Why is this (recommendation) the best course of action? (think in terms of costs, technical feasibility, acceptability etc)

Question 7: What is the cost of inaction? In other words, what will happen if your recommendations are ignored?

Section 2
Post-training activities: A coaching roadmap

Post Workshop/ training activities

After the training workshop, an opportunity should be provided for the trainees/national professionals to gain hands-on experience. This helps to reinforce learning but also leads to the generation of policy briefs and other knowledge products/tools of influence. This section outlines a methodology and guideline for piloting the skills learnt in the training workshop through a project/policy case study.

This activity is being conducted as a follow up to the training workshop on "the art of influencing policy change". It is designed to support the Councils in packaging, disseminating and using the findings of the research to enhance their impact on key intervention areas including: research management, use of evidence and indicators, policy advice, promoting knowledge exchange and networking amongst science system actors.

Project objectives

The specific objectives of the guideline are:

- Pilot the skills learnt in the training course in selected Councils
- Generate practical feedback on the tools and approaches for influencing policy change from the stakeholders
- Form a coalition of 'like-minded organizations' with a voice and interest in advocating for STI policy reforms

Project outputs

The activity will consist of a series of stakeholder consultations; documentary reviews; research database analysis and policy workshop(s). The results of the activity will be:

- Several policy briefs produced from previously-funded research projects.
- Ownership of the policy recommendations and outcomes by a wide range of actors, particularly the policy and decision-makers.
- Enhanced capacity of researchers to write effective policy briefs
- Institutionalization of the policy brief as an expected outcome of research projects funded by the Councils

Expected outcomes

- Councils will make 'in-built policy brief development' a requirement for publicly funded research projects
- Councils will coordinate the involvement other actors in the policy and decision-making process
- Councils will have improved their skills in bringing relevant issues to the attention of policy makers and influencing policy change

Project duration

This activity is to be completed in three to six (3 – 6) months after the policy training course "the art of influencing policy change". We are cognizant that meaningful policy changes and institutional procedures in national systems can take long to achieve, so the roadmap modestly aims at initiating changes that could mature long after the project is complete. The roadmap is therefore designed not only to provide an achievement within the life of the SGCI, but to set the scene for longer-term individual, organizational and institutional changes that will enhance the collaboration between actors in the national STI system.

Overview of roadmap

The activity is to be conducted in the context of the following complementary activities:

- A training workshop on "the art of influencing policy change" to be conducted with selected Councils
- National studies/research projects funded by the Councils (where relevant) or research projects from Universities and Research Institutes (where appropriate)
- A training handbook "*Beyond Research*: Influencing policy and practice" which provides relevant case studies, exercise and tools for policy influencing
- Coaching and mentorship support from a qualified technical team
- An e-learning course and curriculum for continuous professional development

Roadmap description

This section should be read together with the section on 'Learning from case studies' in the book – ***"Beyond Research: Influencing policy and practice"***

For each stage in the roadmap the following information is given:

- ***What it entails (Background):*** An overview of the stage and its objectives.
- ***Who is involved:*** The person or organization responsible for the stage, and other participants and their roles and responsibilities
- ***How is it done:*** The methods to be used and activities to be undertaken in the stage.
- ***What is to be achieved?*** The results or outputs of the stage.
- ***When is it done?*** The suggested timing of the different stages is according to the indicative workplan is given below

STAGE	MONTHS					
	1	2	3	4	5	6
1. Form national taskforce						
2. Scan existing research						
3. Plan stakeholder consultations						
4. Conduct stakeholder consultations						
5. Synthesize findings into a policy brief						
6. Conduct policy workshops/ seminars						
7. Report dissemination						

Stage 1. Form a national task force

Background – what is required?

The Council will have overall responsibility for the activity. It will be required to form a small task force to manage the activity. The task force will be involved in the preparations, implementation and synthesis of the activities, and its composition should ensure the necessary expertise is available.

Who is involved?

An officer of the Council will be the task force leader. Two or three other members are required, and should be drawn from amongst the *training course* participants. The taskforce members should represent the different stakeholder or actor categories [see the stakeholder analysis in section X of the book "*Beyond Research*" and part 3 of the concept note outline annexed to this guideline].

What is to be achieved?

The formation of the task force will facilitate the necessary collaborative arrangements between actor groups and allocation of responsibility for the activities.

When should this be done?

The task force should be formed as soon as possible, preferably soon after the training course

Stage 2. Scan existing (previously-funded) research

Background – what is required?

It is important to be focused on research areas that require policy action and which policy issues deserve priority. This should be based on a clear criteria, national needs and agendas as well as international debates and processes. Prioritizing research/policy areas must take account of existing research to avoid duplication, use and build on results already available. This step will focus mostly on on-going (contemporary) research as well as previously-funded research projects

Who is involved?

This step is undertaken by the task force with additional technical expertise co-opted as needed. Other task force members and stakeholders should be encouraged to provide information and undertake tasks and responsibilities based on their interests, expertise and available resources

How is this to be done?

For each of the identified potential policy topics a note should be made of any ongoing or concluded national research, and whether it is adequately addressing the specific policy issue. This could be done as a group activity (see box below).

Box 2: Draft handout for group work

Identification of Research topics

In your group, review all the problems and constraints that have been allocated. For each problem or constraint, consider (i) What research has been undertaken in this area (historical, refer to the scan of the previous research done (ii) what research is going on at the moment (contemporary, participants should discuss any known research in the country's main research institutes/universities.) The Council should also guide the participants on the research topics they have funded in the recent/current funding windows.

The information can be presented in a table as follows.

Research topic	Status (on-going or completed)	Organizations	Brief description
Topic 1			
Topic 2			
Etc.			

- Research Topic: The topics identified during the training workshop and stakeholder consultations
- Status: Status of any research on the topic in the country: ongoing, or completed
- Organizations: The organizations involved in the identified research/projects
- Brief description: A sentence describing the purpose of the identified research/project. The issue requiring policy attention should be highlighted

If there is more than one existing research effort related to a topic, there may be more than one line in the table for the topic. International research projects that members are aware of that have relevance should be mentioned.

What is to be achieved?

The output will be a table listing the potential research topics identified by the training workshop and stakeholder consultations, together with a brief indication of any existing relevant research.

When should this be done?

The scan should be completed in month 2.

Stage 3. Plan stakeholder consultations

Background – what is to be achieved

The stakeholder consultations must promote active involvement and participation, using the principles covered in the training course. See also stakeholder analysis and participation matrix in the concept note outline annexed to this guideline

Who is involved?

The task force will design the stakeholder consultation.

How is this to be achieved?

A draft program and methodology for the stakeholder consultations is given under stage 4. The task force should meet to fill in details and make any modifications that they feel appropriate. The host organizations for the consultations, who will be responsible for organizing each consultation, and where they will be held must be clearly defined. The task force leader is responsible for organizing the meetings in collaboration with a contact person in each of the hosting institutions.

Consultations should be planned to take into account the political, linguistic, cultural and geographical sensitivities as well as provide an opportunity for involvement of different stakeholder groups. At least 4 – 5 consultations should be held.

What is to be achieved?

The outcome of the planning will be a schedule for hosting the stakeholder consultations, a finalized program and an agreed methodology for each consultation.

When should this be done?

The planning for stakeholder consultations should take place in month 2.

Stage 4. Conduct stakeholder consultations

Background – what is required?

The stakeholder consultations aim to collect views and information from a wide variety of actors, particularly those that are 'affected by the relevant policies/policy changes'. The emphasis is thus on enabling the interests/ demand to be expressed. The consultations will build on the preliminary exercise undertaken during the training workshop, to widen the inputs to the process and promote linkages among stakeholders.

Who is involved?

The consultations will be organized and led by the task team. At each consultation there should be about 10 - 15 participants (maximum 20). The exact balance of participants from the targeted stakeholder groups will depend on the location of the different meetings, but it is recommended that research scientists should constitute no more than a quarter of the number.

How is this done?

The box 3 below shows a suggested program for the consultation which can be completed in less than one day. The program should draw on the methodology and content of the training course to ensure that the consultation promotes participation. If time allows practical exercise could be conducted to promote interaction.

The task force leader or other team member should provide an introduction to the objectives of the meeting which are:

- To introduce participants to policy influencing
- To promote linkages and interaction between different stakeholders
- To gather views from the users of research on the policy recommendations

The task force leader or one of the team members should also provide short presentations on 'policy influencing'. This can be based on presentations made during the training course, emphasizing those parts most relevant to the particular group.

- A plenary brainstorm should then be held, also following the approach used in the training course. Participants should be requested to think about the problems and constraints that they face or know about in the selected research area.
- A facilitator should lead the session, with participants given the chance to speak briefly about the constraint (s) they perceive. Each constraint should be written on a card (one per card) and the cards stuck on the wall for everyone to see

Box 3: Draft Programme for Stakeholder Consultation

0800	Registration
0830	Welcome and introductions
0900	Introduction and objectives of meeting
0930	'Policy influencing' presentation
1000	Constraints analysis: Identification of problems and constraints
1045	Tea
1115	Introduction to group work - Identification and prioritization of research topics
1300	Lunch
1400	Presentation of group work
1445	Presentation of previous research topics
1530	Tea and depart

After the plenary sessions the participants should be divided into three groups, each of which will need flip charts and marker pens. The groups should be provided clear verbal instructions, based on a handout to be provided (refer to case study 2.1 in the book *"Beyond Research"* and do exercises 2.3 – 2.6).

The groups should then present their findings to a final plenary session. The aim of this session should be to stimulate feedback from the participants and get further input into the group discussions. It is important that good notes are taken of the plenary sessions so that the results can be written up.

What is to be achieved?

The outcomes of the consultations will be:

- Involvement of a wide range of people in the process, so broad ownership.
- a detailed outline of the context, evidence, links/ networks and external environment analysis
- A list of possible policy issues with a qualitative assessment of priority
- Feedback on the policy priorities identified at the training workshop

HINT: Each of the groups should then present their results, allowing opportunity for discussion and comment. The division of participants into groups should be done in a way that ensures different categories of actors are represented in all the working groups. It is suggested that a member of the task force is assigned to each group to act as a facilitator, and to make sure discussions stay on track.

When is this to be done?

The consultations should take place in months 3 - 4.

Stage 5. Synthesis of consultations and writing the policy brief

Background – what is required

The results of the consultations need to be compiled and synthesized to give a consolidated output. This should provide sufficient material for a policy brief.

Who is involved?

The synthesis and drafting of the policy brief will be undertaken by the task force leader with the support of the taskforce members

How is this done?

The results of the group discussions from both the training workshop and the stakeholder consultations need to be merged to provide a single consolidated list. The final list should then be clustered for ease of presentation in the report. The groupings used in the training workshop can be retained or new categories created if the task team so prefers.

Policy options also need to be clustered under the same/ similar headings, and presented together with their qualitative priority. The origin of the topic (which consultative meeting) should also be indicated, again promoting ownership of the output.

The output of the synthesis will be consolidated findings of the consultations, comprising policy issues (to be addressed), policy options (actions recommended/preferred by stakeholders) and an assessment of their priority. The synthesis/findings will be written into a policy brief. The policy brief template/outline (see annex 2)

When is this to be done?

The synthesis should be completed in month 5.

Stage 6. Policy workshop(s)/ seminar(s)

Background – what is required

An important part of policy influencing is engaging policymakers and raising their awareness of the issues and options. The policy workshop will do this through presenting the findings of the policy project and promoting dialogue among stakeholders at a senior level.

Who is involved?

The task force will organize and lead the workshop.

How is this done?

The workshop should be short (half day maximum) so that policymakers are able to attend. Participants should be senior representatives of the different stakeholder groups. Policymakers and government representatives should be invited not only from the ministries relating to science, research, agriculture, education, but also trade, industry and commerce and any others that are relevant to the specific policy project. As such, the participants would be a group of people who do not ordinarily meet to discuss such issues. A meeting which is largely composed of researchers and scientists should be avoided.

With senior government/stakeholder representation it should be possible to ensure good media coverage of the event. A press briefing should be prepared to hand out at the workshop, together with the policy brief developed/completed in stage 5 above

A draft program is shown in the box 4.

A keynote address on the policy issue should be presented by a policymaker or a private sector/practitioner, preferably from the economic or trade perspective rather than a researcher/scientist from the production/ process perspective.

A presentation on 'the consultative process' that led to the policy brief and recommendations should be made. The presentation should be 'light' in terms of details – focusing mainly on the key issues from the stakeholder consultations, and should aim to make the policymakers aware of the changes that are required, particularly at organizational and institutional level.

A final plenary discussion can cover any points arising from the presentations, but possible questions for discussion include:

- What additional information/evidence is required to support the recommended policy options?
- What institutional and organizational changes need to be made to achieve the desired policy change?
- What formal structures (such as cross-sectoral committees, public-private sector forums etc) can be used (where they exist) or created (if new ones are required) to enhance co-ordination and linkages amongst stakeholders in the national innovation system?

Box 4: Draft Programme for National Policy workshop

0830	Registration
0900	Welcome and remarks by chief guests
0930	Objectives and expected outcomes of the meeting
0945	Keynote address (from economic/trade perspective)
1015	Tea
1045	Presentation on 'the consultative process and prioritization'
1115	Presentation of the policy brief/recommendations
1145	Plenary discussion
1300	Lunch and departure

What is to be achieved?

The discussions at the workshop should be written up as part of the policy project report. Given its consultative and participatory nature, it is expected that the policy recommendations/options already reflect the views of the stakeholders and as such no divergent recommendations would emerge from the policy workshop. However, being a gathering of senior representatives, it is possible that new/additional insights may be highlighted. In that case, the taskforce team should be flexible enough to accommodate such views and enrich the policy brief and its recommendations.

Another key output of the policy workshop should be an agreed 'way forward' and implementation plan. This is basically an outline of next steps in moving the policy issue towards its actualization. It should be a statement of commitment by the heads of organizations/senior management to support the implementation of the suggested policy options/changes.

When is this done?

The policy workshop/seminar should take place in month 6.

Stage 7. Reporting and dissemination

Background – what is required

The policy project report should be written up and reported to stakeholders in a variety of ways. Policymakers will have been involved in the project and workshop/seminar which is an effective method of influencing them, but additional methods are also required.

Who is involved?

The Council will be responsible for coordinating the reporting and dissemination, with the support of the task force. The Scinnovent Centre and its partners will comment on the draft reports, briefs and other communication items

How is this done?

The following dissemination channels are suggested.

(i) **Project report:** The report will be structured around the methodology (stages 1 – 6) in order to include the outputs of the different stages. The final report should be clear about the experiences, lessons, stakeholder views and perspectives. It should provide suggestions for improvement based on the challenges, constraints and opportunities identified during the implementation of the methodology and approach. These observations will be useful in updating the methodology and improving the approach. As such, both technical as well as logistical lessons should be captured.

(ii) **Policy brief(s):** Depending on the time and resources available, several policy briefs could result from this activity. Whereas the actual numbers will depend on the amount of historical as well as contemporary research projects within the Councils as well as the universities/research institutes, the numbers should be kept manageable. The Councils are encouraged to have a long-term view and instead of trying to achieve-all-in-one-go, they should adopt a more sustainable methodology that promotes institutionalization and continuous investment in policy brief development.

Detailed guidance on writing effective policy briefs can be found in the materials provided during the training course and in the book "*Beyond Research*" both of which are companions to this coaching and mentorship roadmap. The brief should be attractively printed and be ready for handing out at the national policy workshop.

(iii) **Web sites:** Outputs of the project will be posted on the SGCI website, but they should also be made available via the websites of the Councils, various stakeholders and partners

(iv) **Social media:** The outputs and recommendations should be shared widely via social media platforms, particularly of the SGCI, but more generally of all the Councils, stakeholders and partners

What is to be achieved?

The written outputs will be a full project report and at least a policy brief. They will have been disseminated via web sites and a workshop with media coverage.

When is this to be done?

Reporting and dissemination activities will be undertaken beginning in month 6 onwards.

Box 5: Concept Note Outline

Administrative Information			
Research Leader (Principal Investigator)			
Surname:		First name(s):	
Title:	Gender:	Nationality:	
Telephone:		Mobile:	E-mail

Collaborators from other institutions: This project is/was a collaboration between the following researchers/organizations.

1.

2.

3.

Part 1: Description of the Policy Project (title, purpose and objectives)

[This section reinforces the understanding of policy and policymaking processes]

Executive summary of the project *(in not more than 200 words)*

Title of the project: [insert text]

Clearly state the policy problem being addressed in the project *(in ¼ page)*

State the main policy question(s)/issue(s) being addressed *(use bullet points in ¼ page)*

Give a brief background to the project including justification. *(½ page)*

Part 2: Approach and methodology

[This focuses on the role of evidence in policy processes and policy influencing]

Give a brief description of the approach and methodology/methodologies *(½ page)*

Part 3: Stakeholder Analysis

Identifies key stakeholders in the policy processes and outlines their roles and responsibilities

Identify key stakeholders to be included in the project. For each stakeholder, state their potential contribution(s) to the project as well as their expectations from the project. You may use the following table *(½ page)*

#	Stakeholder	Contribution to the project	Expectation from the project

Part 4: Multi-stakeholder participation matrix

[This one addresses the multi-stakeholder objectives/consensus building]

#	Stage of the project	Level of Stakeholder involvement		
		Inform stakeholders to be informed at every stage of the project (dissemination)	Consult stakeholders who would be consulted at every stage (dialogue)	Participate stakeholders who would be actively engaged in either:
			Implementation	Decision-making

Part 5: Impact and Evaluation

[Addresses the question of policy uptake and advocacy]

Describe the plan for knowledge utilization and dissemination from this project *(in ¼ page)*

- What will be the key knowledge outputs from this project? e.g. publications, multi-media products etc
- Who will benefit from the outputs of this project? clearly state the targeted beneficiaries
- How will the outputs be packaged and presented to them?
- How will the uptake and utilization be monitored and reported?

Annex 3

Box 6: Policy brief template

General guidelines 1500 – 3000 Words
• Focus on the target audience. Both the message and the layout need to be clearly focused on your target audience. Build on what they already know as you introduce the unknown • Keep it brief. Focus on a particular problem/issue or problem area. Do not cram all your research into one policy brief. If necessary, write many other briefs, each addressing a particular element of your research • Talk to your audience: Your audience would like to 'hear your voice' so to the extent possible use your natural voice....in other words, write as though you are speaking to this defined audience. Assume you are addressing this mixed but knowledgeable audience sitting in front of you and you are telling them about the policy issue
EXECUTIVE SUMMARY • A one or two sentence overview of the policy brief (not of the research) that entices readers to go further. At most a paragraph... • Mind your language. Avoid all technical jargon and concepts of the academic discipline. Make it easy to follow for a wide and knowledgeable audience. If you must use them, explain all technical terms to a lay audience
INTRODUCTION • Answer the question why is the topic important, why should people care. Think beyond the 'scientific relevance' to the 'developmental relevance'...in other words, what does it mean for the economy? What impacts on society/livelihoods? What about the environment/nature? What about sustainability in general? • Answer the question what were the goals of the research and overall findings. What did you set out to achieve/change/explore? How does this relate to the why question above? In other words, how would your research address the why question? • Create curiosity about the rest of the brief; leave your audience wanting to know more. Do not provide the answers here....just explain the issue (the why) and your response (the what). Leave the findings and answers to the next section(s)

APPROACHES AND RESULTS

Focus on the evidence. Back your argument up using evidence, and underline the consequences of adopting particular alternatives. This section answers the how question. In other words, what did you do to arrive at the results and conclusions?

- *Summarize facts, issues and context:* This is where to present your methodology and findings. Again, keep it simple. Every discipline has their specialized approaches but remember this policy brief is for the non-technical audiences. Keep the methodological description high-level and limited to only what the reader needs to know in order to appreciate your work.
- *Reduce detail to only what reader needs to know*: While facts, figures and statistics are important, the policy brief reader is more inclined to the 'developmental relevance' of your work rather than the technical details. They are interested in knowing what your work means for the economy, the society, the environment, for sustainability etc. Make limited use of statistics and figures. More explanations and narratives.
- *Provide concrete facts or examples to support assertions.* Diagrams, photos, infographs and any other visual illustrations help bring life to your policy brief. Short case studies/examples (in boxes) are equally useful. Local, contextualized examples are often appreciated by the readers.

IMPLICATIONS[5] AND RECOMMENDATIONS[6]

This section answers 'the so what question'. In other words, the developmental relevance of your research.

Focus on practicability and feasibility. This is an action-oriented tool. Your recommendations should be realistic and implementable in terms of cost, time and impact

Consider, for example, is your research:

a) Seeking to influence the debate/thinking around an issue e.g. does your research/findings introduce new aspects/methodologies/approaches/theories etc to an existing issue? Will it change the current narratives/thinking/approaches on how the issue is currently handled?
b) Seeking to change/modify/improve the technical aspects of how programs[7] are designed/implemented?
c) Seeking to change a particular specific policy/policy regime. If so, which one?
d) Seeking to enhance the capacity of policymakers to make better decisions? If so, how?

Base conclusions on results/evidence:

Consider: Does your research provide enough evidence to support the recommendations?

---

5 These are **what could** happen
6 These are **what should** happen
7 The programs will vary according to the field/disciplines/sectors. In health, for example, these may include how particular diseases are handled e.g. vaccination regimes, maternity and newborn procedures, how drugs are administered etc

What kind of evidence do you have? Quantitative/qualitative/other?

- How was this evidence generated? Surveys, case studies, other?
- How generalizable/replicable are your findings?
- Are there any contrasting/contradicting evidence on this issue? How will your research/findings stand against such contrasting/contradicting evidence?
- On the other hand, are there any other evidence complementing/supporting your findings?
- Who are the leading thinkers in your field? What are their opinions/findings in relation to your findings/recommendations?
- Where can the reader go to find more about this topic?

Aim for concrete recommendations and strong assertions

Consider: Who/which office has the mandate/authority to make /implement the changes/actions you are recommending?

- This has to be very specific…where possible, name both the person and the office.
- They should have the authority/legitimacy to make/effect the changes/ actions being sought
- They should have the power to allocate resources/or cause resources to be allocated to the specific issue
- Do we know their position on this issue? How much do they already know about this issue?

CONCLUSION

This section answers the *what next*? question. State clearly what could or should happen next.

- What specific change/action are you seeking/recommending?
- What are the other alternatives?
- Why is this (recommendation) the best course of action? (Think in terms of costs, technical feasibility, acceptability etc)

Section 3
Facilitator's guide

Training Approach

This is meant to be an interactive and highly participatory training workshop. Sessions are designed to maximize discussions and engagement. Some of the units may take longer than anticipated. Facilitators should be flexible and willing to adjust according to the needs, interests, priorities, or background knowledge of those attending the workshop. At the same time, it is important to keep a pace that ensures all material will be covered during the workshop.

Facilitation skills are essential for this training process. The training can be delivered by two to three facilitators who need to work closely together, before, during and after the workshop. It is recommended that no more than three facilitators should deliver the workshop. The workshop team should ideally include a lead facilitator and a co-facilitator who should have experience in group facilitation and policy processes/influencing.

Hint: For effective co-facilitation, the following should be considered:

- Assign sessions that are a good match with each other's talents, knowledge and background
- While one facilitates, the other assists in different ways such as recording on flip charts and time keeping.
- Establish cues to use during presentations to subtly communicate feedback among yourselves

Pre-training capacity assessment – participant selection and admission

To ensure maximum participation and that the training responds to participants' needs and priorities, a pre-training assessment should be conducted at least one month before the training workshop. The assessment should gauge participants experience in policy influencing and policymaking processes, whether these are obtained through formal training or on-the -job training. A capacity assessment tool for both individuals and organizations is presented in the book "*Beyond Research*" and should be used for this pre-training assessment.

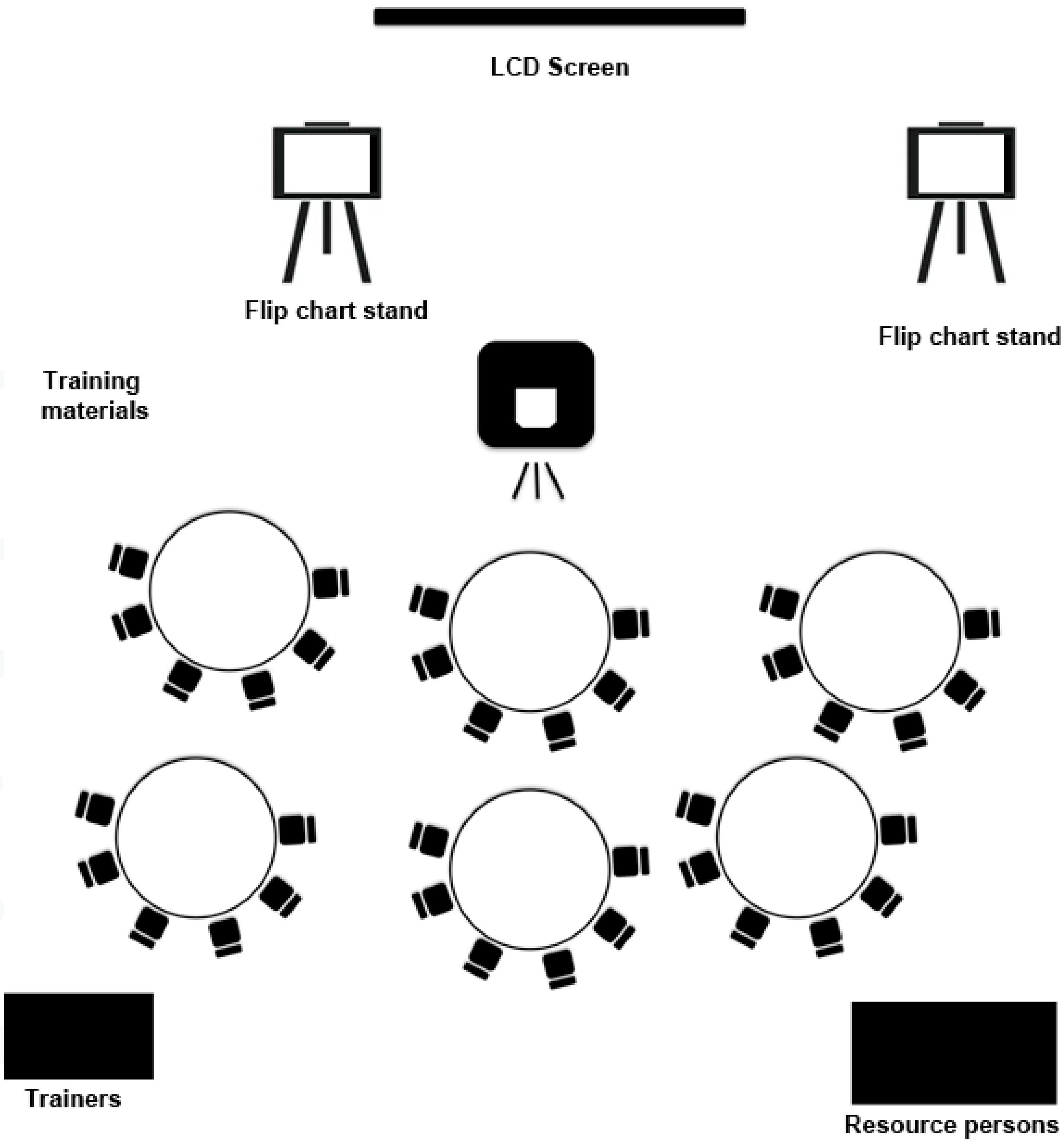
Room Layout

The room should be large, comfortable and welcoming with sufficient lighting. Seating arrangement should include round tables of a maximum of 6 participants each. Plenty of space should be reserved for an exercise corner, where participants can engage in the various interactive exercises. (see figure 1 below for room setup).

We suggest that the following checklist should be used as guide in identifying the training room

- 1 well-lit and ventilated room that can accommodate approximately 30 pax.
- Large enough tables (preferably round) of 5-6 persons each moon-shape set up – (If round tables are not available, we can improvise with rectangle ones)
- Adequate space between tables for ease of movement by participants and facilitators.
- No pillars or columns in the room to obstruct the view of participants.
- Adequate wall space to create a gallery for index cards and sticky notes.
- LCD Projector/Pointer (pre-tested).
- Power extension cables and adapters for laptop users
- Confirmation of power backup in case of power failure/blackout.
- Finally, it is CRITICAL that the facilitators/trainers have access to the training room the day before the training begins in order to set up, test equipment, and solve any challenge that might occur well in advance of the start of the training

Figure 1: Suggested room set-up



Pre-training Planning/ Scheduling

Planning should begin several months before the workshop. The following schedule is a suggested guideline:

Timeline	Task
2 months before	• Assemble the training team. These should be experts with the relevant training/experience in the field. They may or may not have worked together previously. It is important to give enough time for team and trust building • Collate training materials including manual, PowerPoint slides • Discuss the training approach, expectations and post training activities. The training team should agree on division of roles/responsibilities, deliverables and timelines. • Produce a working agenda. Discuss and agree on administrative matters such as contracting, timelines etc • Prepare a checklist of all the required materials and tasks
1 month before	• Administer pre-training capacity assessment • Confirm venue booking/room requirements • Affirm roles and responsibilities among facilitators
2 weeks before	• Discuss how to organize group discussions and group exercises to use including case studies and relevant examples. • Share agenda with participants and seek their inputs/comments • Compile final list of expected participants including their affiliations and designations • Share selected training discussion questions with participants • Review and adjust agenda as informed by pre-workshop assessment and participant feedback • Finalize training materials, assignment questions, etc. • Confirm venue and logistics • Send out a logistics note with relevant details
1 week before	• Select final case studies to use and make sufficient copies • Print participant materials and assemble participant packets containing relevant information products including course description, workbook etc. • Print training and facilitation materials
One day before	• Prepare meeting room and organize seating arrangement • Produce registration/ sign-in sheet • Evaluation sheets • Competency sheets • Daily evaluation forms

Facilitator's step-by-step guide

The key role of the facilitator(s) is to regularly reflect on the process, analyze the group dynamics and offer feedback to participants. To achieve these, facilitators are encouraged to ensure that:

On day 1 of the workshop:

- Ensure you explain smileys and participants have a shared understanding of how to fill them
- Issue hand-outs, program and any other training materials. Ideally, these should have been shared ahead of the workshop. However, sometimes there are delays and the materials are not ready until the beginning of the training workshop. If this is the case, then such materials should be distributed before the training starts on day 1.
- If you have planned any tests/assessments to evaluate the levels of understanding of the participants, this is the right time to issue such tests/assessments. The results should inform any changes in approaches and methodology
- Participants often come to the training sessions harbouring fears and expectations about what the training entails. You should lead them in expressing such fears and expectations. This would be useful in assessing if you are addressing their fears and meeting their expectations as the training progresses
- Explain the different (daily and final) evaluation methods and plan for daily reiteration. You can divide the participants into groups and allocate each group its 'reiteration day' or appoint individual volunteers (whichever suits the occasion).
- Explain the training methodology and process. In particular, pay particular attention to the personal action plan and competency sheets. Explain to participants why these two are particularly important and how they contribute to the workshop outcomes and future plans
- Agree and write house rules on flipchart. Be clear on the consequences of non-compliance and (if necessary), appoint 'rule enforcers'
- Conduct self-introductions to get to know your participants: their professions, organizations, designations, interests etc

On a daily basis:

- Engage in regular mood checks by sticking a paper with smileys on the wall, ask participants to fill in during breaks and pick up/analyze in the evening
- Prepare some energizers and ice-breakers. It is a great idea to get participants to share in presenting these. It breaks the monotony, engages the participants and is also capacity strengthening
- Hand out daily evaluation sheets, ask the participants to fill them in as the training progresses and collect/analyze them in the evening
- If participants have questions that (1) you do not have a ready answer for (2) will be discussed in a future module, write the question on a card and stick it on the wall.
- Ensure participants get a chance to present/ facilitate in front of the group. Participant engagement is key to learning and confidence building
- Evaluate knowledge progress to ensure you are 'carrying everyone along'
- Pay keen attention to group dynamics e.g. are there difficult people/silent people? How do you handle them? What are your strategies for improving group dynamics?
- Ensure you collect daily evaluation forms and smileys from volunteers/group who prepared reiteration.

On the last day:

- Conduct final evaluation and collect all the evaluation forms
- Discuss how the 'fears and expectations' have been met/unmet
- Discuss any unanswered questions
- Review the competency sheets and how the participant competencies have changed
- Discuss action plans and any future support/ coaching/mentorship required

Golden nuggets: lessons from previous training workshops

Develop a shared understanding of terminologies

It is important that participants are "on the same page" on the first day of the training. While it is assumed that some prior knowledge on policy and policy influence exists, it is still useful to go through a session on definition and interpretation of terms that will be used during the training course. For example, participants should have a common/shared understanding of "policy", Policy influencing, policymaker, decision-maker, public policy, research, knowledge etc. Usually, this common/shared understanding is developed in plenary by asking the participants to spell out their current understanding of the terminologies and how they apply in their contexts. Use of local examples often help to clarify issues raised/ discussed. Whereas literature definitions are useful, local examples help to drive the points home and participants often identify with these local examples.

Incorporate policymakers as guest speakers

The guest lectures and speakers featuring senior policymakers/researchers/experts in the various fields bring the practitioners' perspectives into the discussions thus helping grounding the training in real life experiences.

Be flexible and adaptable

From the pre-training assessments, it often emerges that participants are at different levels of exposure to and understanding of policy processes.

Depending on the findings of such assessments, the allocated time, methodologies and approaches might require adjustments. The facilitators should be cognizant of this and be ready to vary the approaches as may be necessary. For example, the time allocated to group works or individual assignments, plenary sessions and presentations could be varied as may become necessary. In some cases, the training might be organised over a longer time span, following consultations and subject to availability of resources

Involve the participants in the management of the workshop

Assigning participants roles such as those of a chairman and a timekeeper helps to keep them engaged, but also builds their confidence and capacity for facilitation. Daily recap summarizing salient points from the previous day and presenting results of daily evaluations are some of the activities in which participants could be directly involved. These roles enhance the participants ownership over the training and provide participants with experience in these roles.

Diversify the team of facilitators and methods

The presenters and facilitators should take turns over the training days. Participants appreciate listening to different people during the same day rather than one facilitator per day. This is also true for the diversity of methods used during the day. It is important to diversify both training methods (e.g. working groups, plenary sessions, role plays, etc.) and trainers/facilitators.

Enhance participants' facilitation skills

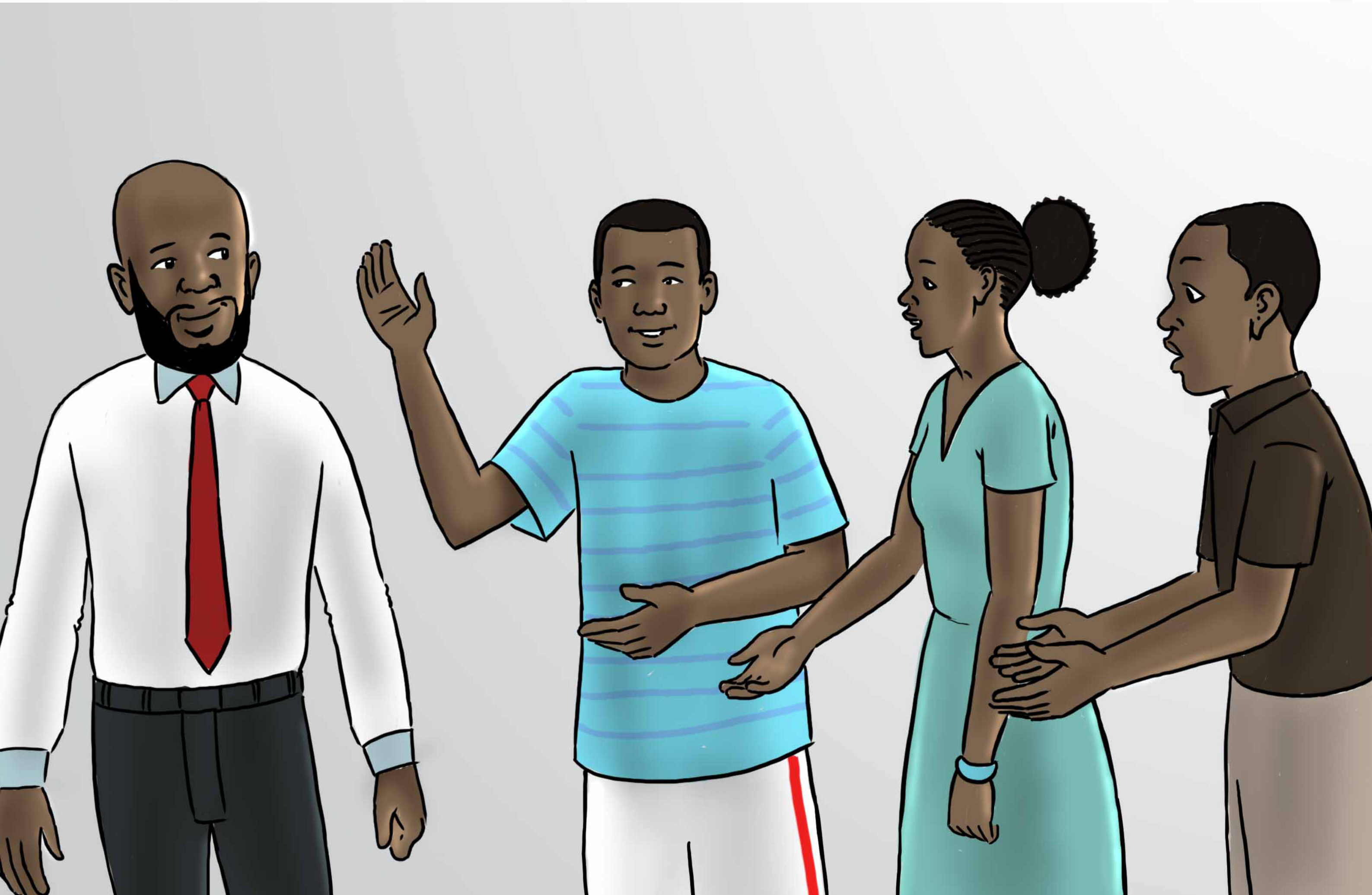
It is important to provide participants the opportunity to gain some facilitation experience e.g., by asking a participant/group to help with facilitating a session. This element can be integrated into the different coaching sessions. For example, what to do you do if the participants do not pay attention anymore? Do you: Take a break? call for energizers? what else?

Post-training coaching and mentorship

In most cases, participants find that winning buy-in from their leaders mobilizing resources to pilot lessons and skills from training remains a big challenge. It is important to plan for post-training support (coaching) and mentorship through learning-by-doing.

Timely breaks and energizers are essential

Energizers should be used by the lead facilitator depending on the group atmosphere etc. If any participant has some experience with energizers, the lead facilitator should ask participants to facilitate an energizer. This is part of capacity building as it allows the participants to gain experience in facilitation.



Section 4

Competency assessments and evaluation

In this section, we provide an overview of different evaluation methods and how they might be used to improve the outcome of the training.

Daily reiteration is an excellent approach for making participants acquainted with evaluation methods and tools. Through this they are involved in improving the program, contents and process.

A short instruction sheet on the **personal action plan** should be prepared and handed out to participants during the first day of training. Usually, the personal action plan includes a coaching program and the facilitators discuss with the participants on a personal basis the kind of support they would require to implement the action plan. These discussions, approximately 15 minutes with each group/participant) are used to provide feedback on the personal action plan and prepare for future support.

The **competency sheets** should be explained fully during the first day of the workshop, this would help participants to realize the importance of the exercise. Besides, some participants may not be familiar with such tool and may have some difficulties in understanding its use and relevance.

Impact Assessments

The impact of the training and post-training activities should be measured in the short, medium and long term.

1. Short Term – Completion of the training workshop

Within 6 – 12 months;

- Number of experts trained
- Workshop assessment
- Competencies developed: a change in core competencies should be monitored during, immediately after and post training (within 6-12 months) through self-assessment and feedback from facilitators

2. Medium term – Completion of post-training national/regional policy influencing activity/project

Within 1 – 3 years;

- Successful execution of a national/regional project on policy influencing
- National stakeholder/policy workshop held;
- Project report completed;
- Key activities/goals/targets set out in the in the action plan achieved/completed;
- Recommendations shared with/ disseminated to policy makers and other actors.

3. Long term – Capacity for policy advice/influence improved

Within 1 - 5 years of completion of training and follow-up project:

- A number of policy briefs have been published from funded research
- Trainees from the workshop have held national workshops to train others
- Additional national/regional policy influencing projects have been conducted
- Institutionalization – policy briefs are made a requirement for new STI grants and budgets allocated for training grantees on writing effective policy briefs
- Recommendations are being used in policy making and policy influencing

Competency assessments

Competency 1: Understanding the key concepts – Policy, Policymaker, Policy Influencing, Evidence, Multi-Stakeholder Processes, Advocacy

<table>
<tr><th>Competency description and context</th><th colspan="4">Competency levels</th></tr>
<tr><td rowspan="3">Participants understand the key concepts on policy and policy influencing

Changes in the levels of knowledge, skills and attitudes of the trainees are key attributes of the training. This competency concerns improvements in the knowledge of the participants. Have they learnt something new? Have there been changes in their skills such as leadership, listening and teamworking? Have their attitudes changed?</td><td>Level 1

Awareness of the concepts on policy and policy processes</td><td>Level 2

Understands key concepts</td><td>Level 3

Able to explain key concepts and apply in their research and innovation activities</td><td>Level 4

Able to train others on the policy and policy influencing concepts</td></tr>
<tr><td colspan="4">Indicators (means of verification)</td></tr>
<tr><td colspan="4">1. Daily evaluations
2. Capacity assessment results
3. Participation in group/individual work and presentations</td></tr>
</table>

Competency 2: Skills for facilitating multi-stakeholder processes

Competency description and context	Competency levels			
Skills for improving the interface between actors in the policy systems e.g. researchers, private sector, policy makers and decision makers	**Level 1** Aware of available approaches and methods for improving the interface between actors	**Level 2** Understands approaches and methods for improving the interface	**Level 3** Can explain and apply the approaches and methods	**Level 4** Able to train others on the different approaches
	Indicators (means of verification)			
Successful policy influencing requires teamwork and networks of a diverse set of stakeholders including private sector, researchers, trainers and policy makers. Creating an environment which contributes to the exchange and uptake of information and knowledge as well as building coalitions around issues of common interest is essential. Communication and facilitation skills such as gathering ideas, mirroring, encouraging, drawing people out, paraphrasing, balancing, making space, stacking, tracking etc are important	1. Daily evaluations 2. Individual capacity self-assessments 3. Group work participation 4. Presentations 5. Participation during plenary group discussion			

Competency 3: Skills for influencing policy change

Competency description and context	Competency levels			
Skills for influencing policy	**Level 1** Aware of need and methods for influencing policy	**Level 2** Understands the concepts on policymaking and policy influencing	**Level 3** Able to use strategies and tools for influencing policy	**Level 4** Ability to train others on policy influencing
	Indicators (means of verification)			
Strategies, resources, rules and regulations for research and innovation are often decided on a policy level. The policy environment determines the success or otherwise of socio-economic development.	• Daily evaluation • Group work • Presentations • Ability to write policy briefs • Participation during plenary discussions			

Competency Sheets: self-assessment

Please complete on a daily basis

Name of participant: ....

Day of workshop: ....

Date of the workshop: ....

Competency	Level achieved *See competency levels (insert 1 – 4 as may be appropriate)*			Comment
	Day of the workshop			
1. Understands key concepts	Day 1	Day 2	Day 3	
2. Skills for writing effective policy briefs	Day 1	Day 2	Day 3	
3. Skills for facilitating multi-stakeholder processes	Day 1	Day 2	Day 3	
4. Skills for influencing policy	Day 1	Day 2	Day 3	
5. Skills to train others on policy influencing and lead national policy/project case study	Day 1	Day 2	Day 3	

Overall competency assessment - enhanced personal skills and ability to train others

(1 = not at all realized to 3 = completely realized)

#	Specific objectives	Not realized	Partially realized	Fully realized
1	I have an increased understanding of the concept of policy influencing and its relevance to research and innovation			
2	I have developed skills on writing effective policy briefs			
3	I have increased knowledge of the role of policy in development			
4	I have developed my skills to train others on influencing policy			
5	I have developed my skills to train others on writing effective policy briefs			

Participant feedback form

Thank you for your active participating in the three-day training on "The Art of Influencing Policy Change." To help us improve on our future training sessions, we would like to get your feedback on your experience. Please take five minutes to respond to these 8 questions.

1. Was this training relevant to your work?

   ☐ Yes

   ☐ No

2. Did the training provide you with the skills needed to train others and implement learning outputs?

   ☐ Yes

   ☐ No

   Please explain.

3. What is your key take away lesson from this training?

4. List 3 sessions that were most beneficial in order of priority.

5. List 3 sessions that were least beneficial in order of priority.

6. What additional support would you need to train others and implement the learning outputs?

7. On a scale of 1 to 3, (1= not satisfactory, 2 =satisfactory and 3 =very satisfactory), how would you rate the following?

	1	2	3
Materials distributed			
Facilitation of training			
Timeframe allocated for the training program			
Opportunities for sharing and participation			
Networking opportunities provided by the Workshop			
Relevance of content for Policy influencing			
Depth of content for the policy influencing			
Quality of delivery of the content			

8. What should we do differently?

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