



Science for resilient livelihoods in dry areas



Revisiting the Kaleidoscope Model for Policy Analysis and Exploring its Applicability to the Complex Agrifood Systems of Countries in Central and West Asia and North Africa: Methodological Guideline

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Key insights

- The Kaleidoscope Model (KM) offers a practical framework with testable hypotheses of key drivers of policy change across diverse countries and policy domains to strengthen comparative work and knowledge accumulation over time, which helps minimize suboptimal policies in developing countries.
- There is a need for a holistic understanding of the policy system from agenda setting to evaluation and reform rather than a “silver bullet” hypothesizing of certain implicit factors of development interventions.
- Effective policy engagements need to be guided by holistic approaches for identifying entry points as well as targeting investments when and where most feasible for policy reform.
- The KM framework can be used for more effective mapping of policy actors, which is commonly ignored by Agricultural Research for Development (AR4D) programs.
- Policy chronologies, circle of influence graphics, and hypothesis testing tables are suites of KM analytical tools that can help track the sequence of events that precede a policy change, orienting stakeholder policy positions with their veto power, and consolidating results on the 16 drivers of policy change, respectively.
- The KM can be applied to identify drivers of policy change and effectively engage stakeholders in cereal sector policy and other policy domains across the selected Central and West Asia and North Africa focus countries of Egypt, Morocco, and Uzbekistan.
- Holistic approaches for policy actor mapping and engagement in complex agroecological transitions of agrifood systems is a complex task but is possible if we identify key transition entry points and focus on their policy implications.

1. Background: Policy-making process in developing countries

Policies are critical to improving agrifood systems innovations and overall economic performance. While favorable policy decisions shape the incentives and actions of stakeholders, suboptimal policies could create bottlenecks and hinder development progress (Haggblade and Babu 2017; Resnick et al. 2018). Therefore, having an impact on policy decisions requires a good understanding of a given country's underlying policy processes. Policies are, however, implemented by a range of stakeholders and bringing them together for action is often a challenge.

There are practical challenges in policy making across developing countries. How are policies made? When and why do suboptimal agricultural policies persist despite empirical evidence of alternatives? These questions increasingly concern the international donor and research communities due to the growing need to achieve development impact with scarce resources (Resnick et al. 2018). Consequently, the Kaleidoscope Model (KM) was developed in response to the growing interest in understanding policy systems and identifying the key drivers of policy reforms in developing countries (Resnick et al. 2018). The KM offers several practical tools for improving policy system performance or guiding an effective policy dialogue across diverse settings of countries (Haggblade and Resnick 2018).

In this context, there is an urgent need to spur collaborations among government agencies, policy makers, policy research centers, universities, and individual researchers in Central and West Asia and North Africa (CWANA) to promote evidence-based policy making. This is hoped to facilitate the creation of new policy pathways to ensure efficient and resilient agrifood systems through inclusive and innovative partnerships and platforms suiting the unique needs of youth, women, and fragile and other marginalized groups in the region. Increased coordination as well as cross-country and regional engagement are also expected through creating and strengthening national alliances of stakeholders (NAS).

The KM can be used to analyze policy and institutional constraints and key drivers of agrifood policy change in

CWANA. This research is being implemented by a team of researchers from CGIAR research centers ICARDA, IFPRI, and IWMI and in collaboration with international and national partners across CWANA countries.

2. Objective and goal

Based on a common understanding of institutional and policy constraints as a critical factor enabling the uptake and scaling of innovations, the broad objective of this guideline is to promote and apply an active engagement framework with key regional stakeholders by setting up NAS that can have a greater impact on policy making. This methodological guideline explores possible empirical applications of the KM to policy change and evaluates its applicability to countries in the CWANA region. The goal is to advance and guide innovations in partnerships, policies, and platforms to make agrifood systems in the CWANA region inclusive, efficient, climate-resilient, and environment-friendly.

3. The KM of policy change

The KM provides an applied holistic framework for analyzing key drivers of policy change in developing countries (Resnick et al. 2018). The KM offers a practical and flexible tool to evaluate a broad range of policy systems. It provides an empirically testable framework with many implicit operational hypotheses of policy change. The KM also allows for better integration and engagement of diverse stakeholders in the policy-making process. The KM integrates insights from international development, political science, and public administration on food security policy in developing countries (Resnick et al. 2018). Its structure and contents are also shaped by these multidisciplinary sciences and empirical insights. As the model's developers explain (Resnick et al. 2018, 105):

“The framework is termed Kaleidoscope Model because just as shifting a kaleidoscope refracts light in a new pattern, so does focusing on a particular stage of the policy process reveal a different constellation of key variables that are important for driving change. Like the pieces of a kaleidoscope, many of the contextual conditions remain the same in the background, but as policy dynamics unfurl, some factors tend to play a disproportionately larger role in driving toward policy change than others.”

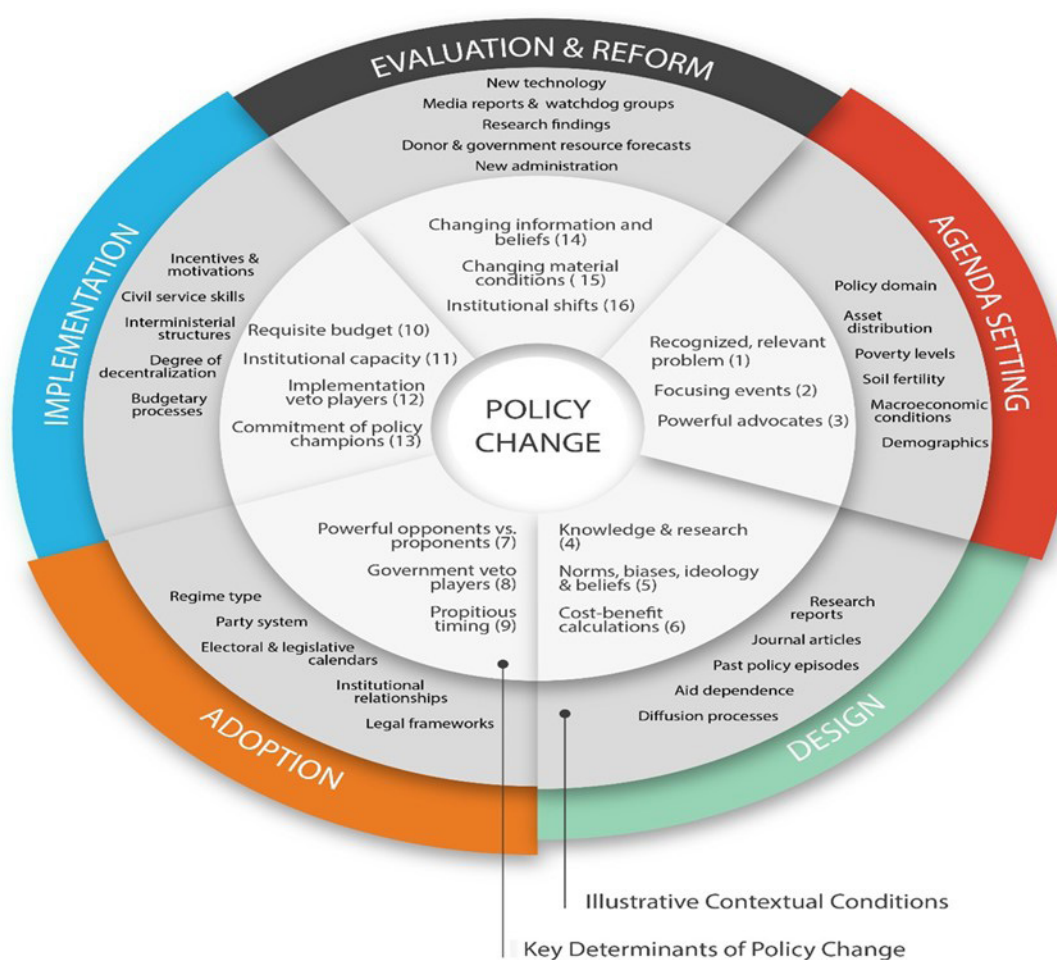
4. Drivers of policy change

The KM identifies a set of 16 variables that have proven consistently important in influencing policy agenda-setting, design, adoption, implementation, and evaluation and reform¹. These 16 variables are key drivers of policy change and for hypothesis testing across the five policy stages² (inner circle of Figure 1, and Table 1).

The outer circle of the wheel in Figure 1 illustrates a non-exhaustive list of contextual factors that shape the

primary causal variables of policy change. For example, macroeconomic conditions often shape prices, private sector engagements, and fiscal budgetary resources. Material conditions, such as poverty rates, level of undernutrition, available technologies, land degradation, and climate factors, also shape the intensity of specific policy problems as well as feasible design options. Conflict can also shape policy processes such as in some of the CWANA countries.

Figure 1. Kaleidoscope Model of Policy Change.



Source: Resnick et al. (2018)

¹ Several field research studies on input subsidy policies and micronutrient interventions in Africa helped to refine the model (Haggblade et al. 2017; Hendriks et al. 2017; Resnick et al. 2017).

² These policy stages only emphasize which variables take precedence at different stages rather than as a predictive theory positing that policy making occurs teleologically (Resnick et al. 2018).

Table 1. Kaleidoscope Model hypotheses about key drivers of policy change.

Policy Stages	Key Variables Driving Policy Change	Hypothesis
1. Agenda setting	1. Recognized and relevant problem	A concerned constituency identifies a relevant problem based on credible evidence or popular perception.
	2. Focusing event	A well-defined event focuses public attention on a problem or creates a window of opportunity for policy change.
	3. Powerful advocates	Strong individuals, organizations, or companies support a new or changed policy to key decision-makers.
2. Design	4. Knowledge and research	Evidence-based knowledge shapes feasible design options.
	5. Norms, biases, ideology, and beliefs	Beliefs and biases shape the range of acceptable designs.
	6. Cost-benefit calculations	Expected benefits and costs (political, economic, and social) influence the preferred design.
3. Adoption	7. Powerful opponents versus proponents	For a policy to be adopted, supporters must be relatively more powerful than opponents.
	8. Government veto players	For a policy to be adopted, government agents with ultimate decision-making power must be supportive or neutral. For a policy to be vetoed, government agents with ultimate decision-making power must be opponents.
	9. Propitious timing	Supporters wait for opportune moments (political, economic, and social) to push policy change.
4. Implementation	10. Requisite budget	Government or donors provide sufficient funds to carry out the new policy or program as intended.
	11. Institutional capacity	The government or other intended implementing organizations managed the new policy or program as intended.
	12. Implementing stage veto players	Designated implementers from the private sector, NGOs, or local agencies have both incentives and willingness to implement the policy program.
	13. Commitment of policy champions	Strong individuals, organizations, and companies continue to publicly support the program.

Table 1 (cont.). Kaleidoscope Model hypotheses about key drivers of policy change.

Policy Stages	Key Variables Driving Policy Change	Hypothesis
5. Evaluation and reform	14. Changing information and beliefs	New learning emerges that influences how decision-makers believe the policy/program should be structured.
	15. Changing material conditions	Available resources, technology, or policy needs have changed since the policy was originally implemented.
	16. Institutional shifts	New actors enter the policy arena as the result of elections, cabinet reshuffles, or new staffing.

Source: Haggblade and Resnick (2018).

5. Diagnostic tools

The KM uses the following suites of tools:

Policy chronologies: Process tracing by indicating whether certain events precipitated subsequent policy changes. The tool can serve to understand the key veto players, the episodes of policy events, policy debates, and the reasons for past policy outcomes. These would help identify promising opportunities for future policy reform and effective policy dialogues.

Mapping policy stakeholders: This involves the identification and mapping of the key stakeholders involved in the policy process³. There are three tools for this purpose:

Stakeholder inventory – identifies perceived winners and losers and their preferences. The tool helps to list the key stakeholders, their roles, resources, and policy stances.

Policy domain mapping – roles of key actors (for example, formulation, administration, oversight, or knowledge). This is also known as the “Policy system schematic.” This tool can help map the key stakeholders based on their roles and their connections across the policy stages.

Circle of influence graphics – aligns stakeholders in a two-dimensional space to map their preferences vis-à-vis a policy with their veto power. This tool would help determine the type of engagements required with each stakeholder such as consulting, participating, and informing. The power and influence of stakeholders could change over time and hence captures the dynamics of the policy episodes (IFC 2007; Haggblade and Babu 2017; ERA-LEARN 2020).

Hypothesis testing tables: These code the significance of variables with secondary and primary data.

Data

Both secondary and primary data are required to test the KM hypotheses. Secondary data come from several sources, including academic articles, parliamentary Hansards, media reporting, donor reviews, and other gray literature. Primary data come from qualitative or semi-structured interviews of knowledgeable stakeholders. Previous empirical work on the KM involved interviews with roughly 20–30 policy stakeholders (Haggblade and Babu 2017). However, these interview numbers can vary according to the complexity of the policy under review. Triangulation of data among respondents and across sources is required to assess the significance of key variables in the KM⁴.

Empirical application of the KM

The KM is relatively recent and was only empirically applied to two domains of food security policy in Africa. The first domain was on the dynamics of nutrition policies in Malawi, South Africa, and Zambia (Babu et al. 2016; Haggblade et al. 2016; Hendriks et al. 2017). The second domain was on the agricultural input subsidy policy reform in Tanzania, Zambia, and Ghana (Resnick and Mather 2015; Mather and Ndyetabula 2016; Resnick and Mason 2016)⁵. The synthesis of these empirical applications offered useful insights (Haggblade et al. 2017; Hendriks et al. 2017; Resnick et al. 2017). The main empirical insights include the following:

- The KM aids the identification of key drivers of policy change across diverse countries and over time. It offers a holistic understanding of the policy process from agenda setting to evaluation and reform rather than hypothesizing about some implicit factors of development interventions.
- Not all the 16 variables in the KM influence a policy change. The complexity of policies under investigation dictates their importance. However, certain variables are consistently influential regardless of the policy being analyzed.

³ Stakeholder analysis is quite detailed and warrants a separate treatment of the tools to clarify how to use them in practice.

⁴ Qualitative research requires explicit criteria for hypothesis testing unlike quantitative statistical analysis (Haggblade and Babu 2017).

⁵ The KM was also applied to investigate the determinants of land titling reform in Nigeria (Resnick and Okumo 2017).

- The KM helps to systematically engage stakeholders in policy dialogue. For example, donors and the private sector are critical veto players for policy change. However, these actors receive little attention in the traditional political economy models.

The policy lessons can be dissected to the key stakeholders involved in the policy process to facilitate action. For example, based on the empirical application of the KM in Africa, Haggblade et al. (2017) identify four key opportunities for the effective engagement of stakeholders for policy reform: (1) evidence, (2) advocacy, (3) financial support, and (4) institutional reform. The prospects for successful policy reform would most likely depend on how these factors are managed and facilitated. The main lessons from the food security policy reforms in Africa include the following:

- Policies with clear technical problems and inexpensive solutions (for example, salt iodization) are easier to solve compared to complex and expensive policies (for example, fertilizer subsidy).
- Policies with limited opposition or few financial interests offer a better prospect for successful policy reform (for example, micronutrient policy rather than input subsidies).
- Credible evidence helps to advance policy reform, particularly in policies with well-accepted technical solutions and without large financial interests (for example, micronutrient policy rather than input subsidies).
- Institutional reforms with the arrival of new decision-makers and shifting administrations offer clear windows of opportunities for policy reform across policy domains.

According to Haggblade and Babu (2017), stakeholders expressed different interests in the use of the KM. While some were interested in improving the overall performance of a given policy system, others sought to influence outcomes by engaging more effectively in specific policy debates. A variety of tools have been documented for each purpose (Haggblade and Resnick 2018).

6. Applicability of the KM to the CGIAR Initiative on Fragility to Resilience in CWANA

The CWANA region is prone to climate change, with increased drying and warming now and more expected in the future (IPCC 2021). Climate change is adversely impacting the current rainfed agriculture systems in the region, leading to a reduction in the profitability of farms, an increase in water scarcity, depletion of biodiversity, and accelerated land degradation (Baum and Al-Zu'bi 2021). Agriculture and water are key vulnerable sectors impacting the food security and national economies in the region. The rainfed and irrigated agricultural systems constitute the primary source of staple food (cereals and tubers) and proteins (food legumes and animal protein); thus, rainfall variability and irrigation water availability affect agricultural production and food security. Continuous use of soil resources combined with recurrent droughts is also promoting land degradation and hence loss of biodiversity as well as competition for land and water resources. These multitudes of constraints limit the economic opportunities from agriculture, land, and water, thus exacerbating high unemployment, conflict, gender inequalities, food insecurity, and the fragility of agrifood systems in the CWANA region.

Farmers in CWANA struggle to access new agricultural innovations and technologies and manage risks because policies and institutions do not adequately support them. Countries in the CWANA region are heterogeneous, with public policy processes that are generally complex and not necessarily responsive to emerging development challenges. In fragile contexts of the region, public institutions have limited capacity to address needs on the ground.

Scaling best-bet agricultural innovations and the conservation of biodiversity can help withstand the effects of climate change and generate better livelihoods for farmers and eventually build resilient agrifood systems in the region (Baum and Al-Zu'bi 2021). Active engagement with key regional stakeholders to understand institutional hurdles is seen as a key factor in enabling the CGIAR scientific innovations to reach farmers at scale through creating

new National Innovation Platforms or strengthening existing ones. Understanding the policy process and the drivers of policy change are crucial for the transformation of agrifood systems in the region. In this context, the KM can be used to identify the key drivers of policy change, effectively engage stakeholders in the policy process, and in *ex-ante* evaluation of proposed policies for feasible impacts.

The KM will be applied to the cereal sector policy across CWANA focus countries: Egypt, Morocco, and Uzbekistan. A specific policy within the broader cereal sector can also be identified for cross-country comparisons. Alternatively, contrasting policy domains can be analyzed to identify common drivers of policy change within a country. In-depth investigation and scoping analysis for the cereal sectors in the mentioned countries will help to better identify the specific policy issue (for example, seed systems, fertilizers policy, and market policy) for which the KM will be applied. For either purpose, secondary data, review of secondary sources, and primary data using semi-structured interviews of key policy makers or policy system stakeholders will be gathered to empirically test the 16 variables driving agrifood policy change in the region and beyond.

Stakeholders analysis

Enhancing the sustainability of effective, inclusive, and resilient agrifood systems depends on the active participation of the involved individuals, groups, and organizations in their design, implementation, and monitoring. Thus, identifying key stakeholders and performing a stakeholder analysis is essential to the design and establishment of the NAS. We consider stakeholder analysis as a precursor to, and preparation for, full stakeholder participation in the formation of the NAS.

For the CGIAR Initiative on Fragility to Resilience in CWANA⁶, which is a Regional Integrated Initiative, stakeholder analysis will help to achieve the following results:

6 [Fragility to Resilience in Central and West Asia and North Africa - CGIAR](#).

- To work successfully within a new participatory development and policy research context.
- To enhance the Initiative's ability to manage its relationships and maintain its credibility with those influenced by its research.
- To identify key stakeholders, actively engage them, and learn from their input.
- To decide about strategic participation and project development based on that learning.

Stakeholder analysis will also help us to address the following questions:

- Which stakeholders shall we talk to at various stages of the policy reform process?
- What is the best way to engage with each specific type of policy stakeholder?
- How can these policy stakeholders contribute to the success of the Initiative and agrifood transformation in the selected focus countries?

Interactions with stakeholders will be broken down into three types of engagement (ERA-LEARN 2020)⁷:

- **Consultation** – a two-way process in which we include the stakeholders in the decision-making and research planning process. Stakeholders will provide information, opinions, and ideas that will directly affect the direction of the project. Consultation is a high level of stakeholder engagement (ERA-LEARN 2020).
- **Informing** – informing stakeholders of decisions, progress, and status of the initiative. This is more of a one-way communication; we will keep stakeholders informed of the Initiative's status and progress. Informing is a low level of engagement in the process (ERA-LEARN 2020).
- **Participation** – direct contribution and involvement in the activities of the Initiative.

Implementation of the stakeholders analysis

The following steps have been identified to conduct the stakeholder analysis:

Step 1. Identify, profile, and map internal and external stakeholders.

Stakeholder mapping identifies the target groups and pulls together as much information as possible about them (Appendix 1). "Stakeholders" are defined as organizations or individuals who have a "stake" in the agrifood system in the CWANA context. Stakeholders can be described in organizational terms as those who may be "internal" (for example, farmers, smallholders, intermediaries and traders, input providers, and policy makers) and those who are "external" (for example, customers and importers).

Step 2. Assess the nature of each stakeholder's interests, impact level, and relative priority.

The impact stakeholders can have on the government's strategy and policy is dependent on their relationship to either the problems of concern itself or policy process, or both. Once a list of possible stakeholders has been created, it is necessary to estimate their interests, impact level, and relative priority. The stakeholders should be listed in a table with their key interests, potential level of impact on the policy, and priority in relation to other stakeholders (Appendix 2). We want to be careful and outline multiple interests, particularly those that are overt and hidden in relation to policy objectives.

The key is to keep in mind that identifying interests is done with the stakeholder's perspective in mind, not the researchers. This is difficult since interests are usually hidden and contradict openly stated aims. Each interest should be related to the appropriate phase of the policy process; that is, interests change as the policy process moves from the agenda setting to evaluation phases (Haggblade and Babu 2017).

Step 3. Construct a matrix to identify stakeholder influence and importance.

The essential tool of stakeholder analysis is the influence/importance matrix (Appendix 3). Influence

⁷ It should be noted that these different levels of stakeholder engagements are dynamic, and practitioners should monitor these dynamics over time (IFC 2007; ERA-LEARN 2020).

refers to how powerful a stakeholder is in terms of influencing the direction of the strategy, policy, and outcomes. Importance refers to those stakeholders whose problems, needs, and interests are a priority for a government. If these important stakeholders are not assessed effectively then the policy cannot be deemed a success.

Influence can be direct or indirect. Some examples of direct influence are authority of leadership, legal hierarchy, control of strategic resources, possession of specific knowledge and information, and strength of negotiation position. Examples of indirect influence include social, economic, or political status, the ability to influence the control of strategic resources, and informal influence through connections.

For the purposes of this analysis, we position stakeholders on a two-by-two matrix based on their level of influence and importance. A first matrix will plot the stakeholders concerning how they would line up—the level and nature of their importance and the extent of their influence. A second map will plot the stakeholders showing how you would need stakeholders to line up if the strategy or policy will have a good chance of success. By comparing the two maps and looking for the mismatches, each quadrant will be analyzed in the following way:

Quadrant one: Stakeholders placed here have both a strong influence and a high importance and need to be fully engaged in any NAS. The participation style for stakeholders needs to be appropriate for gaining and maintaining their ownership.

Quadrant two: Stakeholders placed here can be highly important but have low influence; they need to be kept informed through appropriate involvement and communication.

Quadrant three: Stakeholders here have low influence and low importance.

Quadrant four: Stakeholders placed here can hold potentially strong influence, but low importance; they should be kept satisfied with appropriate approval and bought in as supporters.

It is essential to recognize that the situation is dynamic. Changing events can mean that stakeholders can move

around the quadrants with consequent changes to the list of the most influential stakeholders. Therefore, it is crucial to iteratively monitor the intensity of stakeholder engagements over time to ensure success and achieve the required policy change (IFC 2007; Jeffery 2009; Haggblade and Babu 2017; ERA-LEARN 2020).

Step 4. Consult with potential stakeholders and listen to them.

Step 5. Identify participation of key stakeholders.

7. Application of the KM to policy analysis in the CGIAR Initiative on Agroecology

The CGIAR Initiative on Agroecology⁸ is a comprehensive effort that focuses on facilitating and documenting agroecological transitions in seven Agroecological Living Landscapes (ALL) spread across seven countries. The main objectives of this Initiative are to first establish and consolidate these ALL, and then initiate a co-design process of agroecological innovations with the identified stakeholders, pilot the co-identified innovations, and finally work toward facilitating changes in key behaviors that can either hinder or stimulate agroecological transitions.

In this Initiative, both policy innovations and policy engagement to enable changes related to technical

innovations are equally important. As the Initiative will primarily be based on stakeholder engagement, including policy stakeholders, a thorough stakeholder mapping exercise will be conducted in at least two of the initiative countries (case studies). This exercise will borrow the relevant aspects of stakeholder mapping from the KM field (see previous section) to ensure the comprehensive identification and engagement of all relevant policy stakeholders for given priority policy aspects, which will be co-defined and defined by the agroecology teams working in the countries' ALLs. Figure 2 provides a sequence of policy-mapping activities (a-d) and their respective rationales. The KM framework presented in this guideline (especially for

Figure 2. Policy stakeholders mapping and engagement in the CGIAR Initiative on Agroecology.



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stakeholders mapping in the section “Implementation of the stakeholders analysis”) will be used to as key reference for the implementation of these steps.

The Initiative places great importance on engaging stakeholders at various levels and stages of the implementation process, with a strong emphasis on mapping out relevant stakeholders. In the initial phase of stakeholder mapping and engagement, scheduled for 2022 and early 2023, the objective is to identify key stakeholders at both the national and local levels who will be crucial for ensuring the sustainable implementation of the ALL (step a in Figure 2). These stakeholders will be supported in their active participation in identifying, co-designing, and co-piloting key innovations that are key and can serve as entry points for agro-ecological transition pathways. These innovations may take various forms, such as technical, institutional, policy, or market oriented. Once the key innovations have been identified, the initiative team will review the policy engagement level in relation to the core innovation of interest, using the Performance and Results Management System (PRMS) to document Innovation Development outputs⁹. Each stakeholder (beneficiary of the initiative) who has participated or benefited from an ALL activity will receive a “label” based on their policy orientation, using the typology of policy-oriented actors provided by the KM (step c in Figure 2). This labeling process will help to identify potential gaps in policy engagement, which can then be addressed by the initiative team with additional efforts. Based on the above, practical policy stakeholders mapping implementation steps (and related justifications) in the agroecology initiative will be as follows:

Step 1. Identify key policy stakeholders at both the national and local levels who are essential for ensuring the sustainable implementation of the Agroecological Transition Pathways (ATP).

This will support the consolidation and representativeness of the living landscape being built by Work Package 1 (WP1) of the initiative on “*Transdisciplinary co-creation of innovations in Agroecological Living Labs (ALLs)*”. The objective is to also ensure that different ranges/types of policy

stakeholders are actively participating by involving them in identifying, co-designing, and co-piloting key innovations that serve as entry points for ATPs. These innovations may encompass various policy orientations, such as regulatory frameworks, institutional reforms, market incentives, or policy incentives. It is thus important to keep a good representation and participation of policy actors within our local innovation systems.

Step 2. Assign a “policy label” to each policy stakeholder who has participated or benefited from an Initiative activity, based on their policy orientation, using the typology of the KM framework.

The policy label recognizes the policy stakeholders’ contributions and measures their policy alignment to the ATP framework. It will further help categorizing policy stakeholders as Champions, Spoilers, Latent, or Bystanders based on their policy orientation and level of influence. This will support the engagement gaps analysis in the next step. An in-depth assessment framework based on the KM and further refined by Ratner and Dubois (2022), as illustrated in Figure 3, can further be used to identify areas of engagement of actors based on their involvement of the policy stage and their “form of power” (visible, hidden, or invisible).

Step 3. Based on step 2 (above) and on the identification of the priority co-designed innovations by WP1, identify potential gaps in policy engagement among stakeholders and address them through targeted efforts by the initiative team.

Additional efforts could include tailored policy interventions, capacity-building programs, or targeted outreach to key policy actors to bridge the identified gaps in relation to the key agroecology innovations being co-designed and tested. Other forms of engagement based on policy actors’ typologies and influence can be found in the framework of Ratner and Dubois (2022) (Figure 3). By addressing these gaps, comprehensive policy stakeholder engagement can be achieved, leading to more effective progress on the ATP in relation to key policy changes that need action, from the initiative team operating in the living landscape.

⁹ Under the PRMS tasks, each country team should fill Excel sheets with specific data related to actors engaged, trained, or involved in some of the initiative activities. These forms are submitted annually for review and for monitoring and evaluation purposes of the whole One CGIAR portfolio.

Figure 3. A rubric to assess opportunities for research engagement in the policy process. Examples in the table are illustrative of possible modes of engagement.

	Visible power: observable decision-making	Hidden power: influencing the agenda, alternative models	Invisible power: shaping meaning and values
Agenda setting	<ul style="list-style-type: none"> ❑ Commissioned issue briefs ❖ Multi-stakeholder dialogue on policy priorities 	<ul style="list-style-type: none"> ❖ Supporting local governance innovation ➤ Evidence for civil society advocacy 	<ul style="list-style-type: none"> ➤ Media outreach on policy issues ➤ Validating local perspectives & experiences to shape priorities
Design	<ul style="list-style-type: none"> ❑ Policy analysis & advice to policy-makers ❖ Building capacity for options assessment 	<ul style="list-style-type: none"> ❖ Distilling lessons from past experience to inform design ➤ Supporting collective action to demonstrate policy options 	<ul style="list-style-type: none"> ❖ Supporting local participation in policy dialogue ➤ Media outreach on policy options & consequences
Adoption	<ul style="list-style-type: none"> ❑ Cost-benefit analysis ❖ Evidence to support internal policy champions 	<ul style="list-style-type: none"> ❑ Assessing power dynamics, winners & losers ➤ Documenting evidence from local innovation 	<ul style="list-style-type: none"> ❖ Dialogue to engage veto players ➤ Dialogue to build civil society & industry alliances
Implementation	<ul style="list-style-type: none"> ❑ Identifying barriers to policy implementation ➤ Formative / process evaluation 	<ul style="list-style-type: none"> ❑ Building capacity for implementation ❖ Learning journeys / exchange visits 	<ul style="list-style-type: none"> ➤ Gathering testimonials of policy impact ➤ Validating local perspectives on implementation
Evaluation & reform	<ul style="list-style-type: none"> ❑ Impact assessment / outcome evaluation ❑ Contributing to official policy review 	<ul style="list-style-type: none"> ❖ Dialogue to support learning and adaptation ❖ Assessing conflicts and trade-offs in implementation 	<ul style="list-style-type: none"> ➤ Identifying and exposing policy myths ➤ Media outreach on policy outcomes

1. What phases of the policy process?

2. What forms of power?

3. What spaces of engagement?

- ❑ Closed spaces
- ❖ Invited spaces
- Created or claimed spaces

Source: Ratner and Dubois (2022).

Step 4. Conduct in-depth research and policy analysis to inform the identification and evaluation of effective strategies within the ATP framework.

If the above steps are followed, we will then ensure that our in-depth research and policy analysis (which are part of the agroecology Work Package 4 (WP4) outputs) will be demand driven and grounded on solid participation and engagement.

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