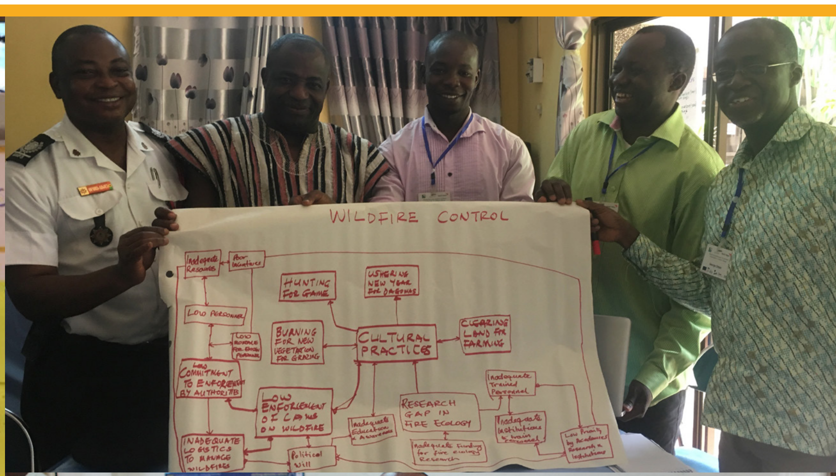
Food and Agriculture Organization of the United Nations

World Agroforestry



Resilient FOOD SYSTEMS

Resilient Food Systems Tailored SHARED Toolbox

Enhancing inclusive and evidence-based policy development

GEF GLOBAL ENVIRONMENT FACILITY INVESTING IN OUR PLANET

IFAD Investing in rural people

SHARED The Decision Hub

Resilient Food Systems Tailored SHARED Toolbox

Enhancing inclusive and evidence-based policy development

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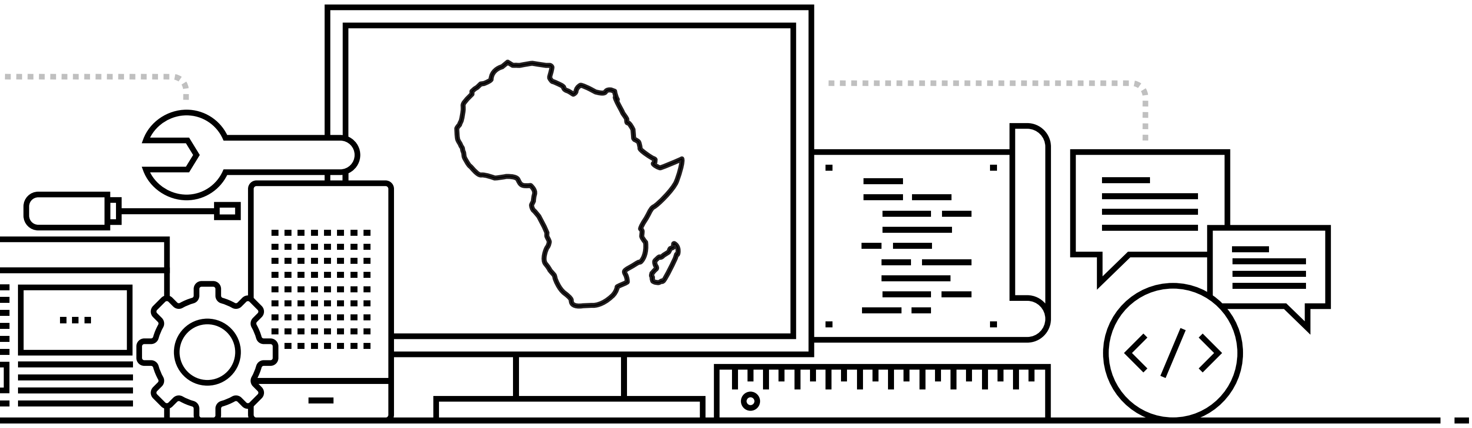

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Abbreviations and acronyms

AGRA	Alliance for a Green Revolution in Africa
AGRHYMET	Regional Centre for Training and Application in Agrometeorology and Operational Hydrology
ASARECA	Association for Strengthening Agricultural Research in Eastern and Central Africa
ASAL	arid and semi-arid land
AU	African Union
CBO	community based organization
CI	Conservation International
CIDP	county integrated development plan
CILSS	Permanent Inter-State Committee for Drought Control in the SAHEL
CGIAR	Consultative Group on International Agricultural Research
CORAF	West and Central African Council for Agricultural Research and Development
FAO	Food and Agriculture Organization of the United Nations
GEF	Global Environment Facility
ICRAF	World Agroforestry
IFAD	International Fund for Agricultural Development
IAP	Integrated Approach Pilot for Food Security
ICRAF	World Agroforestry
M&E	monitoring and evaluation
MOU	memorandum of understanding
MSP	multi-stakeholder platform
NARS	National Agricultural Research Systems
NEPAD	New Pact for Africa's Development
NGO	non-governmental organization
RECs	regional economic communities
RFS	Resilient Food Systems
SHARED	Stakeholder Approach to Risk Informed and Evidence Based Decision Making
SLM	sustainable land management
SSA	sub-Saharan Africa
TCG	Turkana County Government
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNICEF	United Nations Children's Fund
UNIDO	United Nations Industrial Development Organization

1 Introduction

1.1 Background to Resilient Food Systems

The Resilient Food Systems Programme (RFS, formerly known as Integrated Approach Pilot for Food Security, IAP) is one of the three Integrated Approach Pilots funded by the Global Environment Facility (GEF).

Implementation of the RFS is led by the International Fund for Agricultural Development (IFAD), in collaboration with 12 African countries and several global partners, including World Agroforestry (ICRAF), Food and Agriculture Organization of the United Nations (FAO), United Nations Environment Programme (UNEP), United Nations Development Programme (UNDP), the World Bank, United Nations Industrial Development Organization (UNIDO), Bioversity International, Conservation International and Alliance for a Green Revolution in Africa (AGRA). The five-year programme is committed to **fostering sustainability and resilience for food security in sub-Saharan Africa**, contributing to a paradigm shift in the continent's agriculture: one which emphasizes the importance of natural capital and ecosystem services to enhance agricultural productivity.

The **Resilient Food Systems Programme**'s approach to achieving resilient food systems is built around three inter-related work streams: Engage, Act and Track. These refer to engaging stakeholders in promoting collective action and policies (Engage); intensifying diversifying and adapting practices for large scale agroecosystem transformation (Act); and monitoring and assessment to information decision making for sustainability and resilience (Track). The Programme implements them through a cross-cutting Regional Hub and twelve country projects (Burkina Faso, Burundi, Eswatini, Ethiopia, Ghana, Kenya, Malawi, Niger, Nigeria, Senegal, Tanzania, Uganda) implemented with support from different international agencies. The programme directly engages the 12 countries in the integration of natural capital management and ecosystem services through investments that aim to improve smallholder farming and food security. Resilient Food Systems (RFS) is helping facilitate dialogue between competing and conflicting players and narratives, and to promote cooperation between them to foster collective action at scale. The programme's theory of change is built around three key areas; Engage, Act and Track and this report will detail work linked to the Engage work stream.

The **Engage** work stream aims to bring together the right stakeholders in the appropriate forums, to analyze and disseminate scientific and practical evidence from interventions across the 12 countries, and to facilitate dialogue to strengthen institutional frameworks. This aims to bridge the gap between agricultural and environmental agendas by promoting integrated approaches that improve smallholder agriculture.

Through the Engage work stream, the programme is fostering a common understanding of ecological sustainability and resilience as the basis for achieving economic sustainability and resilience of the production sectors themselves. At a system level within each country, the programme facilitates joint planning and implementation by the government ministries dealing with agriculture, natural resources and the environment, with engagement by diverse stakeholders from the development community, private sector and civil society.

Within each of the country project designs, there are embedded targets and achievements, both individually as country projects and collectively at a programmatic scale to achieve change. Programme level - Establishing multi-stakeholder and multi-scale frameworks in support of policy and institutional reform to facilitate the upscaling of integrated natural resources management

Indicative targets linked to policy and institutional work include:

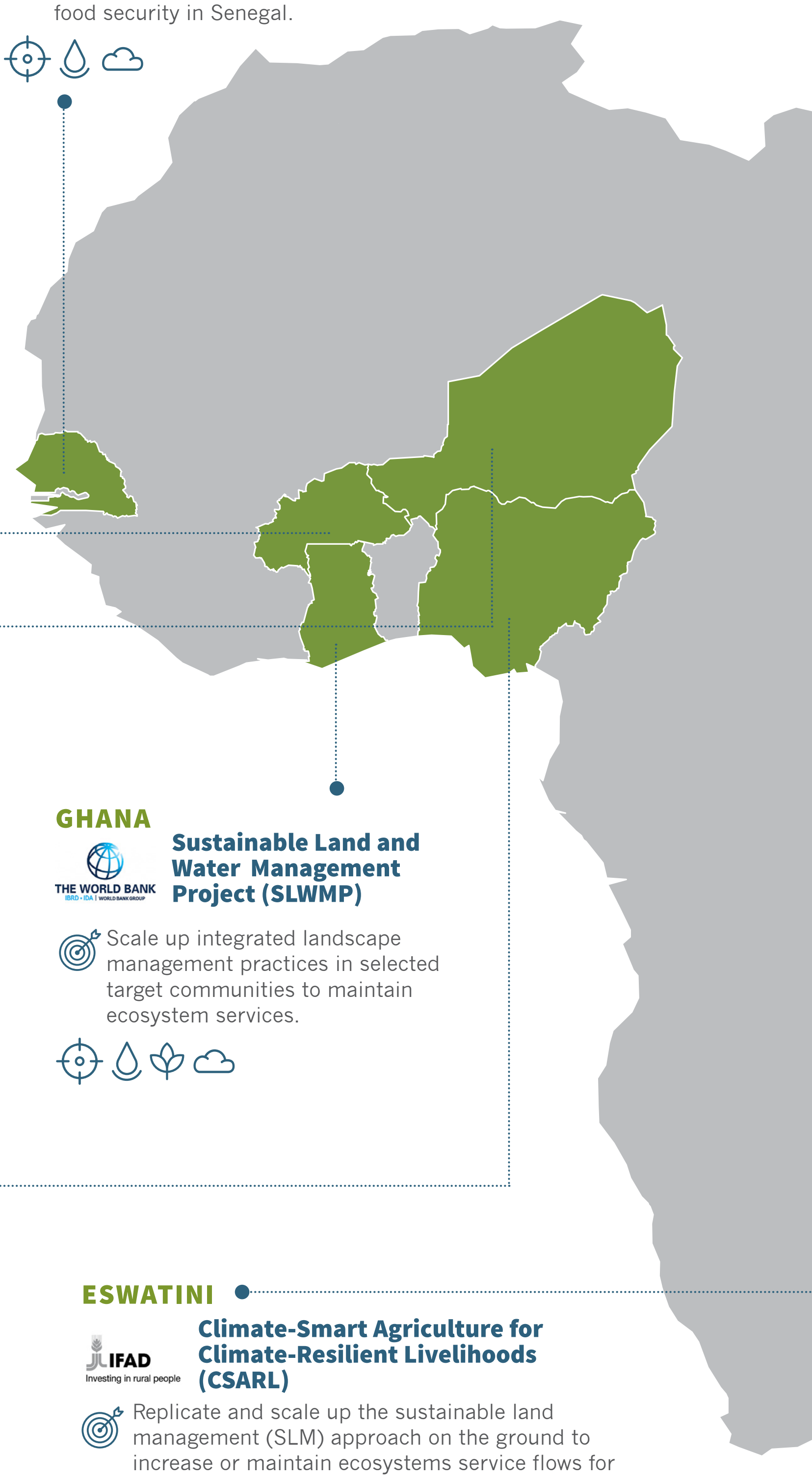
- What are the number and type of supportive policies and incentives for integrated approaches at national level?
    - Five (5) functioning multi-stakeholder fora and committees are in place at local/landscape level for integrated management in the targeted geographies: Senegal, Niger, Malawi, Nigeria, Burkina Faso, Tanzania, and Uganda. *
- What are the number of functioning multi-stakeholder fora and committees in place at local/landscape level for integrated management in the targeted geographies (including number of women participating)?
    - Ten (10) functioning multi-stakeholder fora focusing on NRM are in place at national level (across RFS partners).
- What are the number of functioning multi-stakeholder fora focusing on NRM in place at national level (including number of women participating): Malawi, Nigeria, Burkina Faso, Tanzania, Uganda, Senegal? *
    - Three (3) functioning multi-stakeholder fora are in place at regional level for adaptive management and learning (including number of women participating).
- What are the number of functioning multi-stakeholder fora in place at regional level for adaptive management and learning (including number of women participating)?
- What are the number and type of multi-stakeholder and multi-scale frameworks in support of policy and institutional reform to facilitate the upscaling of integrated natural resources management in place?

There are a number of **key stakeholders** that the programme level and country project level are intended to engage including:

- National governments – represented by inter alia Ministries of Environment, Agriculture, Rangeland, Forestry or equivalent in the 12 participating countries in sub-Saharan Africa (SSA)
- African Union/AUDA-NEPAD – represented by the AUDA-NEPAD Planning and Coordination Agency and relevant departments of the African Union Commission
- Regional Economic Communities (RECs)
- Multilateral agencies – IFAD, FAO, UNDP, UNEP, UNIDO, World Bank
- International NGOs – AGRA and CI
- Research institutes and centres – ICRAF (World Agroforestry), NARS, CGIAR centres and Africa regional centres, such as ASARECA, CORAF, CILSS, AGRHYMET
- Sub-national and local governments
- Community and civil society organizations starting from local communities and farmers' cooperatives, women's associations, farmer-led extension networks and international networks, coalitions and partnerships active on sustainable land management, integrated natural resources management and ecosystem services
- Private sector companies
- Multilateral environmental agreements and treaties

* Responses compiled from November 2019 RFS monitoring and evaluation workshop

RFS directly engages 12 countries in the integration of natural capital management and ecosystem services through investments that aim to improve smallholder farming and food security. The programme works towards a common understanding of ecological sustainability and resilience, the basis for achieving economic sustainability and resilience of the production sectors themselves.



SENEGAL

IFAD Investing in rural people · UNIDO

Agricultural Value Chain Support Project (PARFA)

Increase sustainability and resilience of agriculture and value chains for enhanced food security in Senegal.

BURKINA FASO

IFAD Investing in rural people

Participatory Natural Resource Management and Rural Development Project (Neer-Tamba Project)

Promote sustainable ecosystem services management to ensure food security and increase smallholders farmers' resilience.

NIGER

IFAD Investing in rural people

Family Farming Development Programme (ProDAF)

Ensure sustainable food security and strengthen smallholder farming resilience.

GHANA

THE WORLD BANK IBRD • IDA | WORLD BANK GROUP

Sustainable Land and Water Management Project (SLWMP)

Scale up integrated landscape management practices in selected target communities to maintain ecosystem services.

NIGERIA

UNDP

Integrated Landscape Management to Enhance Food Security and Ecosystem Resilience in Nigeria

Enhance long-term environmental sustainability and resilience of food production systems in order to ensure improved national food security.

ESWATINI

IFAD Investing in rural people

Climate-Smart Agriculture for Climate-Resilient Livelihoods (CSARL)

Replicate and scale up the sustainable land management (SLM) approach on the ground to increase or maintain ecosystems service flows for sustained crop, livestock and forest production, and conserve biodiversity. The project would also endeavour to build climate resilience households.

KEY

- GOALS
- FOCAL AREAS
- LAND DEGRADATION
- BIODIVERSITY
- CLIMATE CHANGE

Figure 1.1: 12 Country projects of the Resilient Food Systems Programme

ETHIOPIA

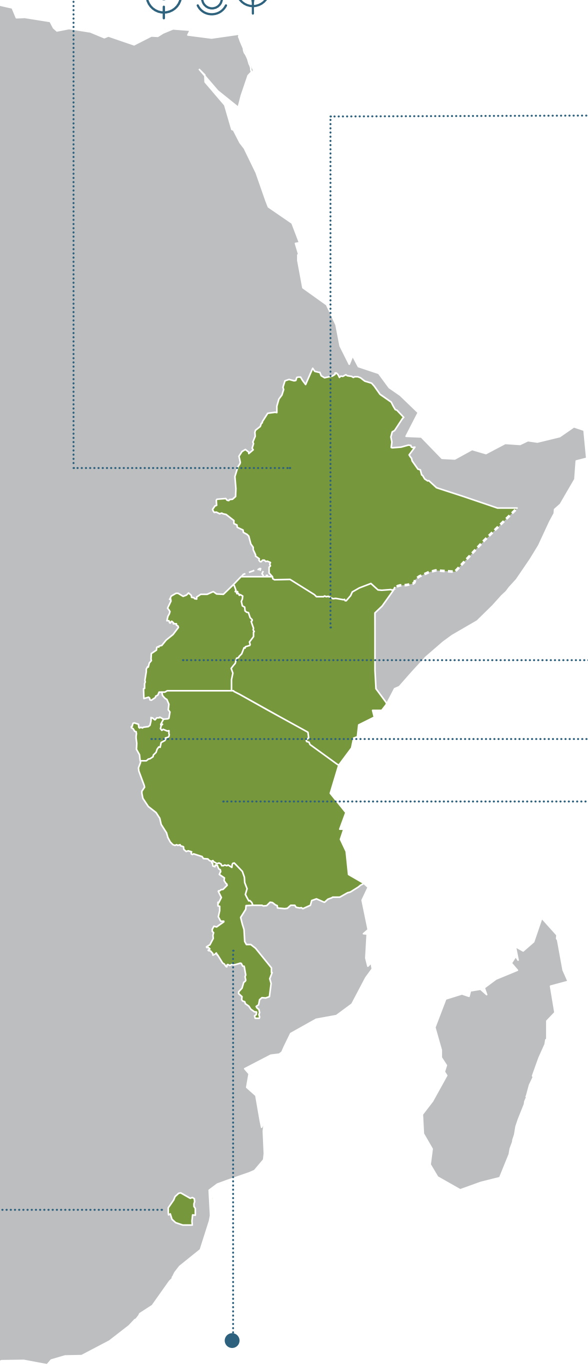
Integrated Landscape Management to Enhance Food Security and Ecosystem Resilience

Enhance long-term sustainability and resilience of the food production systems by addressing the environmental drivers of food insecurity in Ethiopia.

KENYA

Upper Tana-Nairobi Water Fund (UTNWF)

A well-conserved Upper Tana River Basin with improved water quality and quantity for downstream users (public and private); maintaining regular flows of water throughout the year; enhancing ecosystem services, specifically food security, freshwater and terrestrial biodiversity, and improving human wellbeing and quality of life for upstream local communities.



UGANDA

Fostering Sustainability and Resilience for Food Security in Karamoja Sub-Region

Improve food security by addressing the environmental drivers of food insecurity and their root causes in Karamoja sub-region.

BURUNDI

Support for Sustainable Food Production and Enhancement of Food Security and Climate Resilience in Burundi's Highlands

Improve diversified production systems for sustainable food security and nutrition through integrated sustainable landscape management and establishment of sustainable food value chains.

TANZANIA

Reversing Land Degradation trends and increasing Food Security in degraded ecosystems of semi-arid areas of central Tanzania (LDFS)

Reverse land degradation trends and increase food security in central Tanzania through supporting sustainable land and water management and ecosystem-based adaptation.

MALAWI

Enhancing the Resilience of Agro-ecological Systems (ERASP)

Enhance the provision of ecosystem services to improve productivity and resilience of agricultural systems.

(Source: FAO, 2020, in conformity with the Map No. 4170 Rev. 19 UNITED NATIONS, October 2020)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1.2 Component 1 goals and support

Component 1 of the Regional Hub is tasked to facilitate the **Engage** work stream - linking with policy and scientific platforms to support dialogue and advocacy for the mainstreaming of ecosystem services, climate resilience and gender-sensitive approaches to food security and supporting policy and institutional innovations. It is technically led by FAO and UNEP.

This Engage work stream within this component is focused on addressing those institutional barriers to resilient food system approaches into policies and investments that can positively influence smallholder agriculture and natural resources management. The focus of this component is the facilitation of dialogue, models, policies and institutions which bridge the agricultural and environmental agendas and constituencies, at various scales.

Three strategic pillars are identified to operationalize the science policy interface: the first pillar focuses on establishing **multi-stakeholder knowledge exchange** mechanism between the 12 RFS countries, and linkages to existing scientific and policy platforms that support innovation for sustainability and resilience of agricultural ecosystems at country and regional levels; the second pillar aims at providing **guidance and tools on integrating best practices** on policy for integrated sustainable landscape management into regulatory frameworks and national and sub-national institutions; finally the third pillar focuses on **capacity development** and support to RFS country projects, including trainings on specific topics on a needs-basis.

To assist Resilient Food System country projects, the FAO and the SHARED Decision Hub organized a structured virtual training to build the skills of country teams to enhance policy and institutional engagement - using the **Stakeholder Approach to Risk Informed and Evidence Based Decision Making (SHARED)** framework and associated tools and methods.

While the Resilient Food Systems country projects work in different contexts related to resilience of sustainable agriculture development and natural resource management, all country projects include a fundamental focus on influencing institutional and policy dialogue processes and on enhancing multi-stakeholder frameworks to link state and non-state actors. If done well, these processes can support long term and successful scaling up of innovations and securing strategic investments.

The **processes, methods and tools** to underpin these activities and achieve successful outcomes are not straightforward. They require country project teams to implement tailored approaches. The good news is – specific tools and best practices exist to support institutional and policy dialogues and multi-stakeholder processes for sustainable agriculture and natural resources management. This training aims to equip the RFS country projects with these tools, approaches and methods to apply in their work.

2 About this toolkit

2.1 Who is the toolkit for?

Country project teams and specifically the focal points for policy, institutional and multi-stakeholder work areas.

Relevant project focal points within partner government departments and development partners.

Project monitoring and evaluation (M&E) specialists and other relevant partners as appropriate to the topic.

2.2 How was the toolkit developed?

The toolkit is part of the FAO and SHARED support from the Regional Hub of the RFS to offer policy and institutional support. The toolkit is focused on existing and potential tools, methods and approaches through the Stakeholder Approach to Risk Informed and Evidence Based Decision Making (SHARED).

This tool kit is the result of a tailored engagement approach and training process (see Figure 1.2) that was carried with the Resilient Food Systems (RFS) country projects based on the SHARED approach. The process was initiated with a series of consultation interviews and was followed by a set of virtual training events customized to the priorities of the country projects. Reflections by country projects provided feedback on the training as well as insights for future engagement and inclusion of the SHARED tools, methods and approaches (see Figure 1.3).

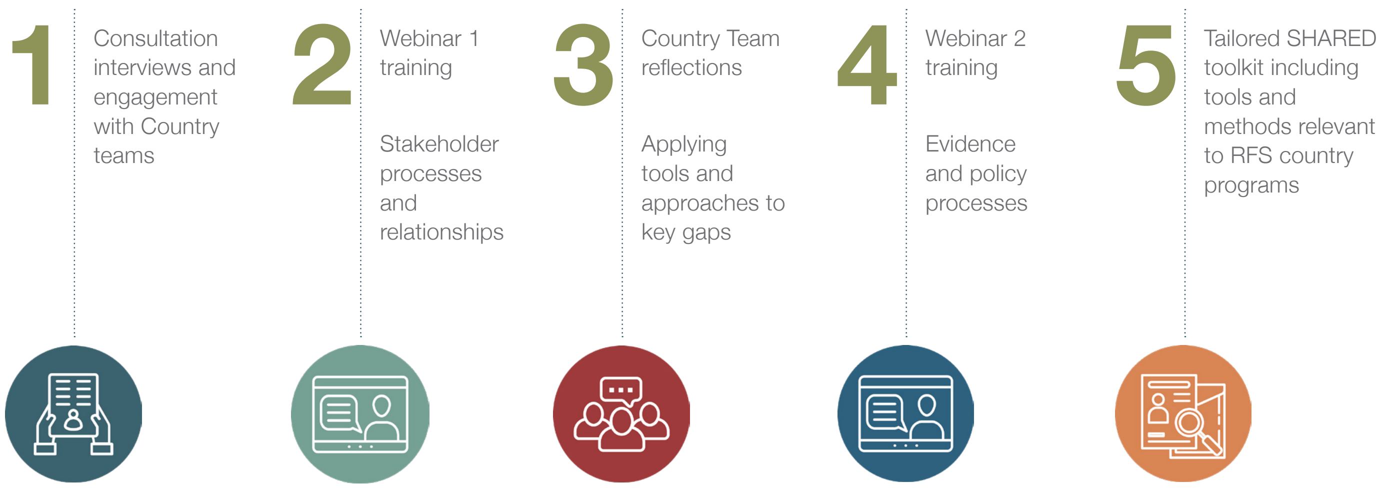


Figure 1.2. Training process overview

Consultation interviews and engagement with Country teams

The SHARED Decision Hub curated the approach to the toolkit to build the skills of country teams to enhance policy and institutional engagement using the SHARED framework and associated tools and methods (see Chapter 2).

To tailor the training, an engagement interview with the RFS country project teams was carried out with the key objectives to prepare for the four virtual training webinars. The engagement interviews aimed to:

- Summarise and discuss key planned outcomes and any updates on the current work status under the policy and institutional theme;
- Understand any bottlenecks or other work or areas, related to policy and institutions, which the training could support;
- Understand any key policy process / policy support within the RFS projects; and
- Clarifying key targets and progress indicators in this work area.

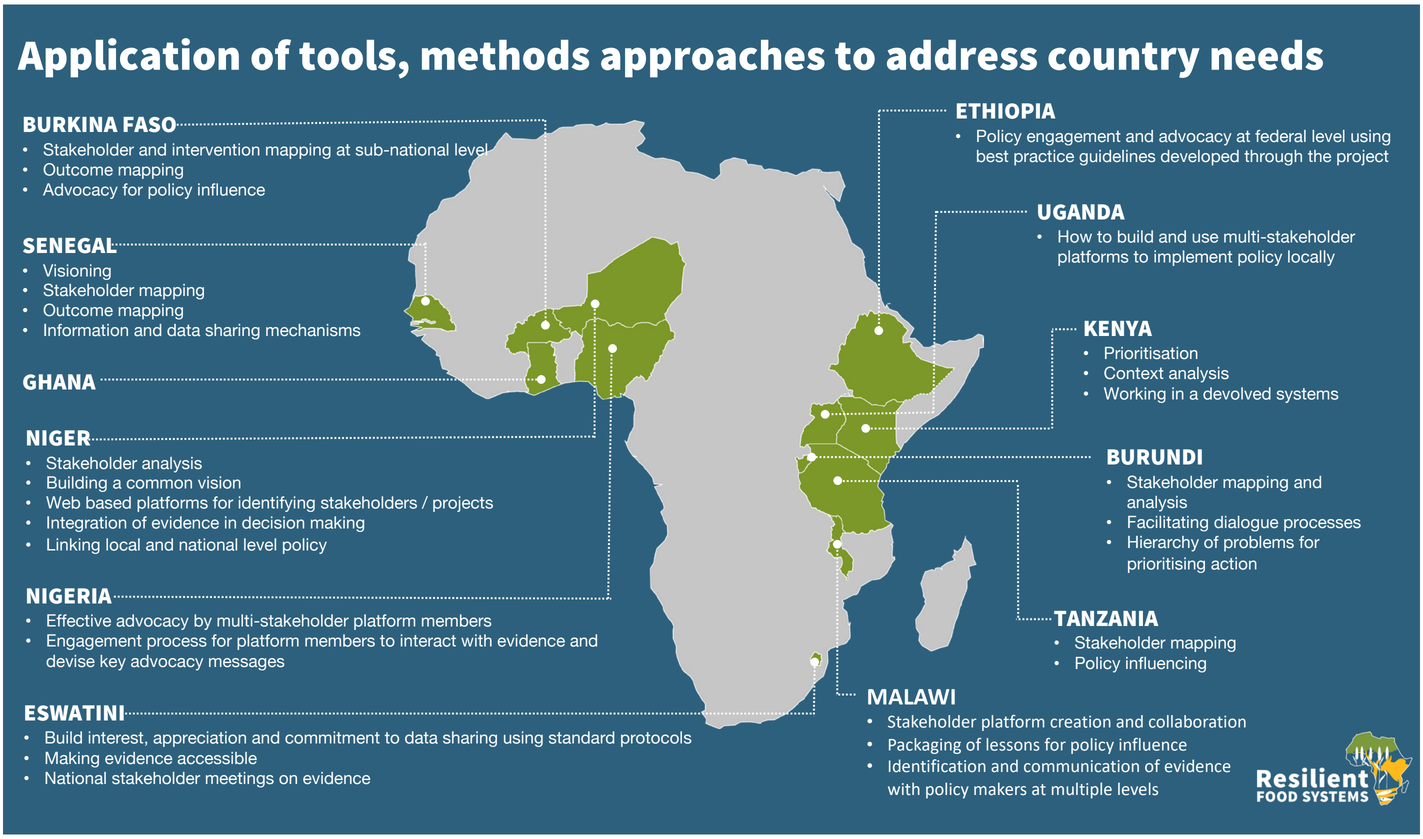
The outcome of these interviews, analysis of country work plans, annual reports and engagement is summarised in the map below with a key summary of needs from the country programs. This gap analysis and intensive engagement with country projects formed the basis for the SHARED Decision Hub to put together a tailored toolkit of applicable methods, approaches and tools with clear rationale and steps for application by the RFS Country Programs.

Virtual training events

The virtual training events (2 each in English and French) were led by the SHARED training team to:

1. Introduce a systematic approach to influencing policies and decisions using the SHARED inclusive, evidence-based process.
2. Provide tools, approaches and methods tailored to the country programs based on the interview and consultation feedback.
3. Share lessons and experiences for enhancing stakeholder engagement and influencing practices, programmes and policies and how these could be applied with relevance to the country projects.
4. Assist country programs to develop proposed applications within their workplans to enhance influence through policy, institutional and multi-stakeholder processes.

The training events highlighted the SHARED tools, methods and approaches that could respond to the priorities outlined in the engagement interviews and were punctuated with interactive questions and reflections by the country project teams.



(Source: FAO, 2020, in conformity with the Map No. 4170 Rev. 19 UNITED NATIONS, October 2020)

Figure 1.3. Priorities identified by country project teams during consultation interviews.

2.3 How to use the toolkit

The toolkit has been designed as a **systematic approach** to influencing policies and decisions using the SHARED inclusive, evidence-based framework and associated tools and methods. The design of the toolkit aims to provide easy step-by-step **tools, approaches and methods** tailored to the country programs that can be applied into RFS country implementation plans.

In addition, detailed country engagement processes, prior to the training webinars, and after the webinars have allowed practical examples, lessons learned and country case examples to be integrated within the toolkit. These provide additional value in **sharing lessons and experiences** for enhancing stakeholder engagement and influencing practices, programmes and policies and how these could be applied with relevance to the country projects.

The Tools, methods and approaches section of the toolkit is structured into two key thematic areas

1. Stakeholder processes and relationships
2. Evidence into policy processes

Across the two thematic areas of the toolkit are five groupings of different tools, methods and approaches responding to more detailed areas under the thematic areas (Figure 1.4).

Within the toolkit you will find different elements:

Method and tool explanations
These sections will describe what the tool, method or approach is, why it is used and where it is most applicable to apply. These sections also include practical considerations for tool application.

RFS Country project case studies and wider applications
These will be within the relevant thematic areas and method blocks and serve to showcase different RFS country project activities and examples.

RFS Country insights
These cover lessons learned, insights and key issues raised from the engagement interviews and the training webinars that were hosted.

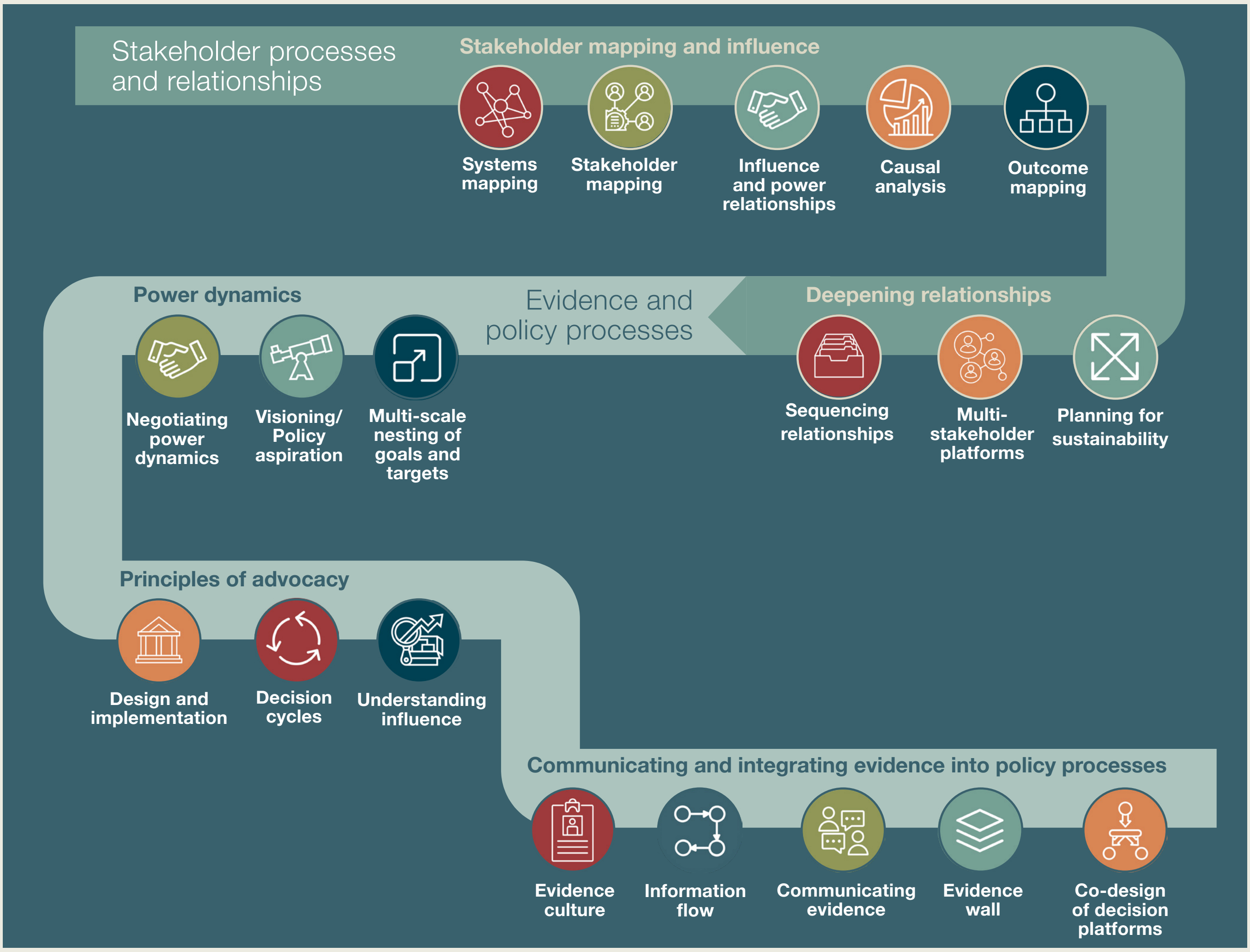


Figure 1.4 Structure of thematic areas and methods, tools and approaches shared in the toolkit

How to use the toolkit for specific objectives to enhance science, policy and institutional outcomes

This table serves as a guide to help you know where to start in terms of tools, approaches and methods that are most appropriate to your work.

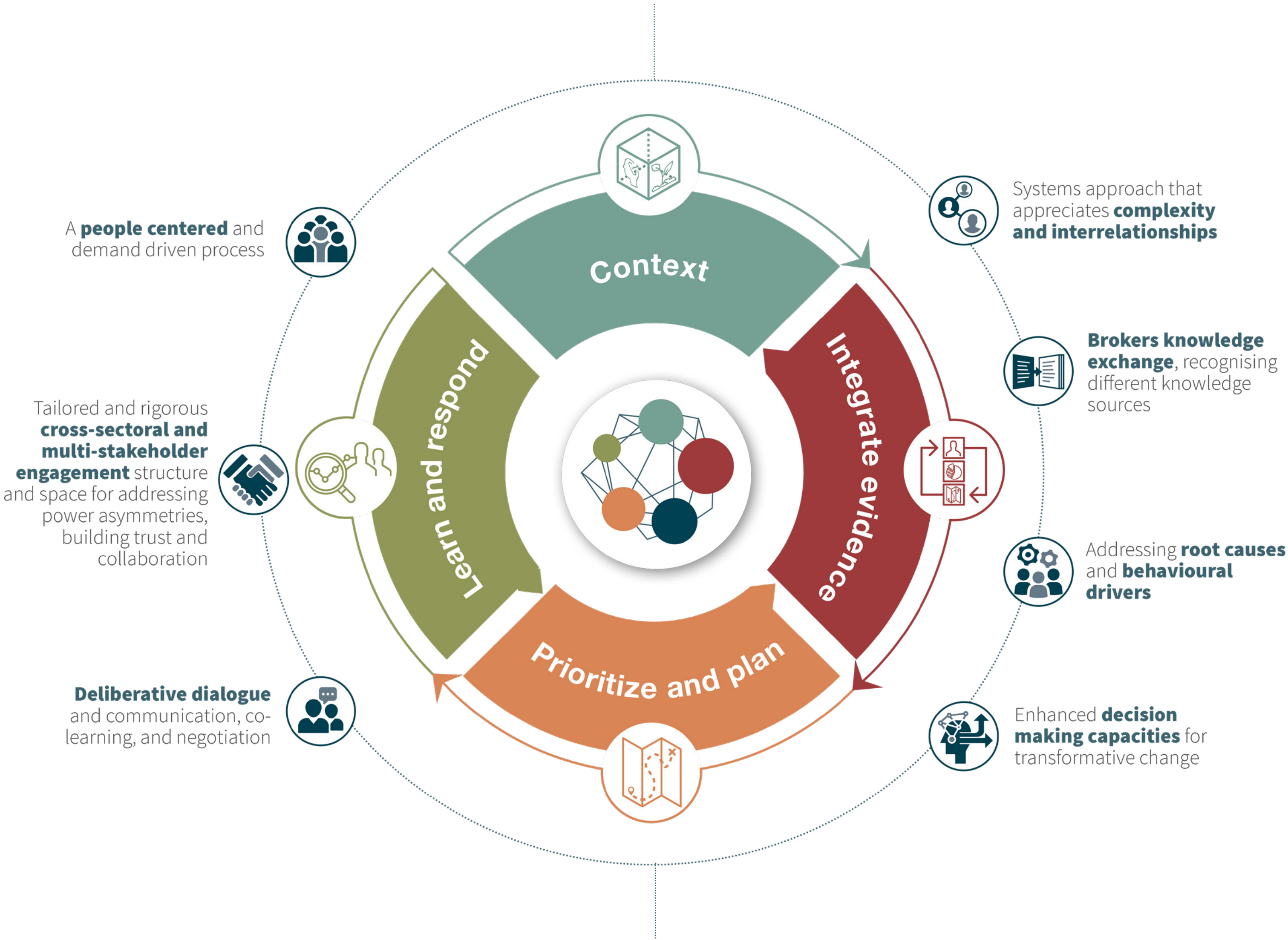
Objective/Tool	Stakeholder mapping and influence	Deepening relationships	Power dynamics	Principles of advocacy	Communicating and integrating evidence into policy processes
Develop a common vision			✓		
Build or strengthen a multi-stakeholder platform	✓	✓			
Identify which stakeholders you need to engage and how to best engage	✓				
Influence and monitor behaviour change among stakeholders	✓		✓		
Understand influence and power relationships			✓	✓	
Address challenges in getting stakeholders to align their objectives			✓		
Communicate systems relationships and understand causal relationships	✓				
Build an evidence culture and motivate people to share and use evidence					✓
Bring more and relevant evidence to the policy makers or to a multi-stakeholder platform					✓
Increase the effectiveness of advocacy around a policy issue or change				✓	
Link targets and goals across scales			✓		

3 Introduction to the SHARED methodology and approach

3.1 Stakeholder Approach to Risk Informed and Evidence Based Decision Making (SHARED)

The SHARED Decision Hub, founded in 2012, is a collective of stakeholder engagement behavioural specialists and transdisciplinary scientists.

The SHARED approach is a tailored method for stakeholder engagement, **managing relationships and brokering multi-stakeholder and cross-sectoral partnerships**. The SHARED process is founded on a principle of fostering evidence-based decision making. SHARED has been applied in multiple sustainable development thematic contexts and 17 countries to date in Africa and South Asia.



Applying human-centred process and science to shift decision culture

SHARED works to strengthen the linkages across science, practice and policy. Through a tailored process to decision-making, centred around people and knowledge, tranfsormational change towards sustainable development can result.

We recognise there are many steps to achieving this, as well as internal and external factors. **We offer a range of approaches and tools towards a tranformational outcome.**

We work across scales, institutional levels, and themes, and **tailor to context and needs.**

Context phase

- **Identify desired future state** and key indicators
- **Map stakeholders and influencing factors** for decision making
- Carry out a reflective **situational and causal analysis**
- Agree upon **timelines**, processes and indicators
- Develop an **engagement plan**

Results: Clear understanding of socio-ecological context and issue analysis, geographic boundary, key structures, policies and relationships across sectors for decision making. Enhanced collaboration amongst diverse stakeholders.

Integrate evidence

- Scope, organize and analyze **diverse evidence sources** into synthesized outputs
- **Co-design** accessible and interpretable evidence
- **Develop capacity on systems thinking** to link bio-physical and socio-economic information
- Disseminate **tailored actionable evidence**
- **Build capacity** of stakeholders to access and interpret and apply data for making decisions
- **Capture and integrate local knowledge** and formalizing input through participatory consultation processes
- Package evidence for **adaptive and planned advocacy** and policy influencing

Results: Evidence culture across stakeholders.Information and knowledge management plan. Actionable evidence to support planning, investment and decision processes. Clarity of attribution of data and promotion of data sharing. Clear role on data and information sourcing, attribution and management.

Prioritize and plan

- **Convene** inclusive knowledge exchange and negotiation events
- **Develop foresight capacity** including participatory scenarios for plausible future's
- Identify additional evidence and advocacy **priorities**
- **Formalize strategic partners**, opportunities and identify joint funding strategies
- Develop cross-sectoral and multi-sectoral **strategic plans and pathways**

Results: Strategic planning for transformative change. Development of multiple future pathways to achieve vision, targets and goals. A collaborative evidence based and time bound strategy to achieve desired outcomes through science, practice and policy interventions.

Learn and respond

- **Integrate** a monitoring and adaptive learning strategy into decision making
- **Reflect on progress**, integrate new evidence and ensure sustainability
- **Facilitate** people-centred consultative processes
- Adapt and update **investment and implementation priorities**
- **Develop** strategic recommendations

Results: Enhanced decision-making capacities building on lessons learned. Reflection and adaptation for achieving transformative change. Proactive reprogramming and amending plans.

RFS COUNTRY PROJECT CASE STUDY

3.2 Applying the SHARED framework – Integrated Development Planning in Turkana County, Kenya

Policy and institutional context in Turkana County

- Historically in Kenya, the Arid and Semi-Arid Land (ASAL) counties were economically and politically marginalized.
- Turkana County is the largest county in northern Kenya and the principle livelihood is based upon pastoralism.
- The new Kenya Constitution (2010), devolved significant decision making to county governments and enhance citizen engagement.
- Devolution to the Turkana County Government resulted in new-found sub-national governance structure, shifts in inter-institutional and multi-scalar relationships and the rapid requirement of a 5-year County Integrated Development Plan.
- When it came time for the second 5-year plan, Turkana needed a new planning modality.

SHARED application background

In 2015, the Chief of Finance and Economic Planning, Emathe Namuar, requested support to "make decisions that will have an impact on outcomes – despite the risks Turkana faces". This request stemmed from:

- Development partners providing resources for their own priorities over county priorities
- County Government Departments and Ward leads requesting silo-based allocations.

The Turkana County Government (TCG) requested a process for bring sectors and evidence together for more informed, synergistic decision making, in anticipation of greater development returns on County investments. A partnership was created among the TCG, World Agroforestry (ICRAF) – SHARED, USAID Resilience Program, and UNICEF, that grew over time. The SHARED Team has served as technical backstopping directly to the Finance and Planning Department from 2014-present.

Integrated Planning Approach Methodology

- Design and implement structured engagement approaches to develop integrated development plans.
- Strengthen situational analysis skills through systems thinking, causal analysis and social network analyzes and an understanding of decision making processes.
- Develop cross-sectoral and multi-stakeholder partnerships and flagships to accelerate progress toward mutually agreed vision, mission and goals. Ensure local goals are reflected and aligned into national, regional and international goals and targets.
- Bring multi-dimensional evidence to bear in visually accessible forms through co-designed decision dashboards.
- Enhance capacities for data management, interpretation and use in decision making.
- Identify criteria for future external investments to ensure support to County priorities.

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SHARED tools and approaches applied in Turkana County application

CONTEXT

Vision setting. Carried out participatory workshops, development of Turkana County vision and mission and key supporting and sustaining elements.

Systems mapping. Enhanced capacity to thinking in systems to strengthened understanding of inter-relationships among social, economic and ecological dimensions.

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Root cause analysis. Clarified of sectoral priority issues and facilitated causal analyzes and required stakeholder and sectoral linkages for addressing development challenges and barriers.

Decision cycles. Drew out structural and behavioural factors influencing decision making and understanding of the decision cycle and entry points for engagement and evidence to influencing county level decision making and annual budget cycle process.

Engagement processes. Developed cross-sectoral and multi-stakeholder collaboration through focused participatory processes and event. Convened multi-stakeholder and cross-sectoral meetings, workshops and engagements. Developed systems based public participation and wide citizen engagement.

INTEGRATING EVIDENCE

Value and quality of evidence. Introduced evidence-based decision making; Increased the understanding and appreciation of the role of evidence in setting priorities to address development challenges.

Bridging sectoral evidence sources and implications. Enhanced understanding of inter-relationships across socio-economic and ecological data and implications for development. Expanded understanding of the contribution of different knowledge systems as evidence sources.

Co-design evidence interface. Co-designed a web-based interface that increased cross-sectoral evidence integration and the visual accessibility and interpretability of data to increase actionability

Data management plan. Developed a data management plan to ensure gathering and managing of evidence to support decision making.

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PRIORITIZE AND PLAN

Developing transformative flagship programs. Operationalized integrated working relationships through co-ordinated templates for each sector to compile priorities, development targets; Designed evidence based sectoral plans and built multi-stakeholder and cross-sectoral transformative and integrated flagships and budgets; Designed learning and evaluation approach.

Criteria for investments. Jointly developed key criteria for government investments and choosing partners based on development needs.

LEARN AND RESPOND

Detailed monitoring and evaluation. Carried out a robust review of previous accomplishments and analysis of constraints and causes. Integrated Development Plan designed for ease of tracking and monitoring. Participatory reflection, learning and re-planning approach creation for mid-term evaluation.

Lessons learned

1. In original CIDP (2013-2017) we only had sectoral plans and we have a number of examples for which we have not seen the results. In the second generation CIDP (2018-2022), we have seen much greater return on the investments in actions towards our vision.
2. The SHARED consultative process allowed us to overcome hurdles including legal processes and blocks, and now we involve stakeholders at every stage, and everyone has an opportunity to contribute.
3. The SHARED approach was fully embraced, and it has been a continued and important learning curve.
4. The partnerships built and new partnerships developed are the basis for the TCG way of working.
5. Mercy corps funded 100 M USD program on "Doing things differently" based on the TCG approach to evidence-based decision making.
6. TCG established a directorate for Resource Mobilization with 26 partner organizations that allows for county co-leveraging of resources that work on these processes.
7. Even changes in leadership do not impede our process and achievements.

Key take home messages


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Key take home messages from Victor Lekaram, Director of Planning at Turkana County Government who presented the case study during the first virtual training webinar provided to RFS Country teams:

- Involve a wide set of stakeholders from the beginning
- Build on relevant competencies from stakeholders
- Build consensus among diverse stakeholders through participatory processes
- Give feedback and communicate regularly

Outcomes

- Revised indicator handbook
- Monitoring and evaluation bill
- County statistical abstract
- Movement of Statistics Department into Economic Planning and Finance
- Data management system and resilience diagnostic Decision Dashboard
- Budget allocations based on evidence rationale
- TCG now demands that bilateral, NGO and research activities provide their data to support decision making
- Training and sensitization across sectors and stakeholders
- County Assembly continued annual budget allocation to SHARED work
- Robust partnerships established
- Enhanced local public participation in prioritization and planning
- Cross-sectoral and multi-stakeholder transformative flagships
- Actionable County Integrated Development Plan (2018-2022) and popular version

Additional discussions

A number of questions and additional discussion arose from the presentation of this case during the first training webinar, where this case was introduced.

Questions: How long has this process taken and what would you point out as the high points and the low points during the CIDP development journey? Which was the best tool used in buying in from politicians, and how long did it take?

Response: The CIDP journey took at least 2 years and low point was bringing evidence driven messages to the political process and high point when the Governor was impressed with the work and issues a circular that all resource requests must be accompanied by a justification and feasibility/return on investment assessment. The engagement also changed investment decisions (such as a road) to be based on evidence. When applying a scientific approach to analysis you need to bring it to the political level clearly.

Question: What legal framework is required to have the Resources Mobilization Unit in place?

Response: The Resource Mobilization Unit is established through the County when the governor takes to the County Executive Committee to approve and the county public service board to establish.

Question: You also mentioned a memorandum of understanding (MOU) Who are the parties to the MOU? is it publicly available/you can share with us?

Response: The MOU can be shared privately; it is a non-financial MOU outlining how we will work together. The MOU was in partnership with World Agroforestry.

Question: How do you get over the challenges in terms of data mining from stakeholders and how did you go around that?

Response: Data mining took a lot of time. In Turkana we have high staff turnover. It was stressful to get data, but we managed to get what we really needed and partnered with the statistics body. From this challenge we developed a statistics unit, so we have data that is available. Working with Geosciences Lab of the World Agroforestry, as a research institution, in data management was useful.

Additional resources

Chesterman, S., Neely, C. & Bourne. M. 2020. *What makes an integrated development plan truly integrated?* online World Agroforestry. Nairobi http://www.worldagroforestry.org/blog/2020/05/08/what-makes-integrated-development-plan-truly-integrated

Neely, C., Bourne, M., Chesterman, S., Vågen, T-G., Lekaram, V., Winowiecki, L.A., & Prabhu, R. (forthcoming) Inclusive, cross-sectoral and evidence-based decision making for resilience planning and decision making in a devolved context. Submitted to *European Journal of Development Research*.
Turkana County Government. 2018. Turkana County Integrated Development Plan, 2018-2022. online Turkana County Government. https://turkana.go.ke/wp-content/uploads/2020/08/Final_Turkana_CIDP_Book_V7_22_12_2018-1.pdf

Vågen, T-G., Winowiecki, L. A., Neely, C., Chesterman, S. & Bourne, M. 2018. Spatial assessments of soil organic carbon for stakeholder decision-making – a case study from Kenya, *SOIL*, 4, 259-266, https://doi.org/10.5194/soil-4-259-2018

4 Methods, tools and approaches applied to RFS Country programs

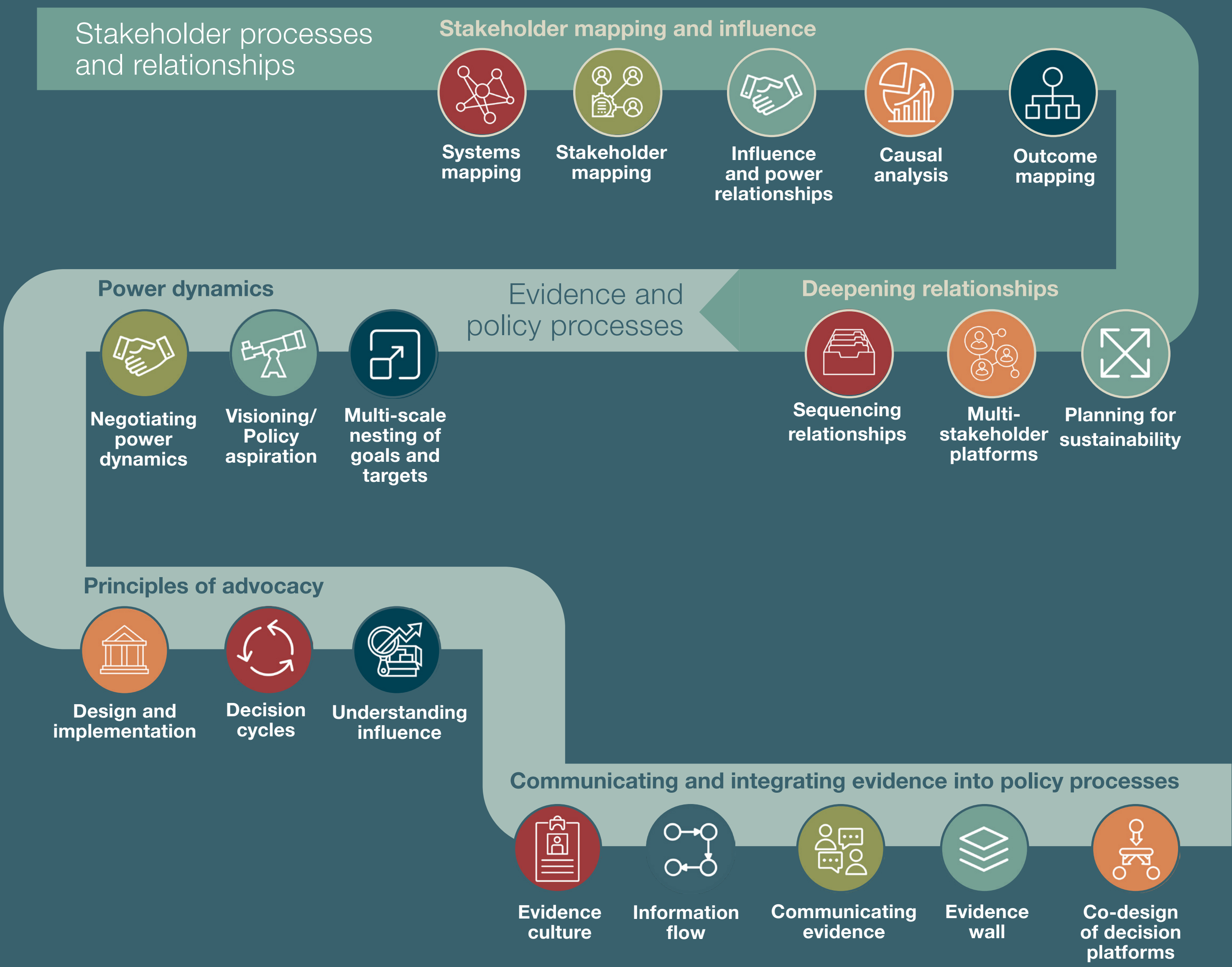
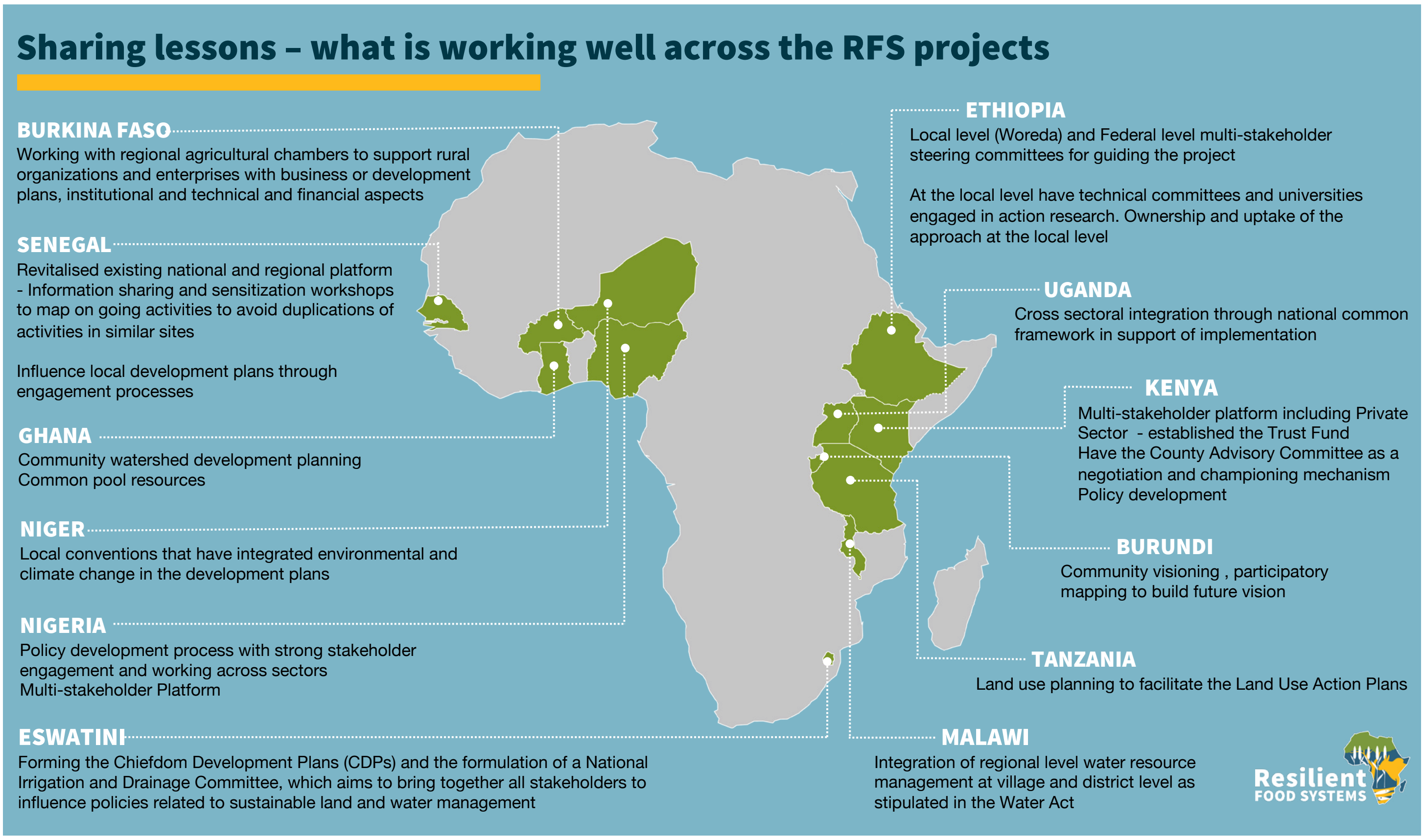


Figure 4.1 Structure of methods, tools and approaches

In this section, we provide the descriptions of each of the tools, methods and approaches related to two overarching sections: stakeholder processes and relationships, and evidence and policy processes.

Across these two sections, there are five main themes including stakeholder mapping and influence, deepening relationships, power dynamics, principles of advocacy and communicating and integrating evidence into policy processes. The tools, methods and approaches in each of these five themes are depicted in Figure 4.1.

In the different sections throughout Chapter 4, country insights and case studies of success or potential application will be highlighted. In Figure 4.2, there is an overview of the lessons from what is working well across the RFS projects that emerged from consultative interviews and discussions and during the training sessions. The country case studies highlighted offer additional lessons learned in support of cross-country knowledge exchange.

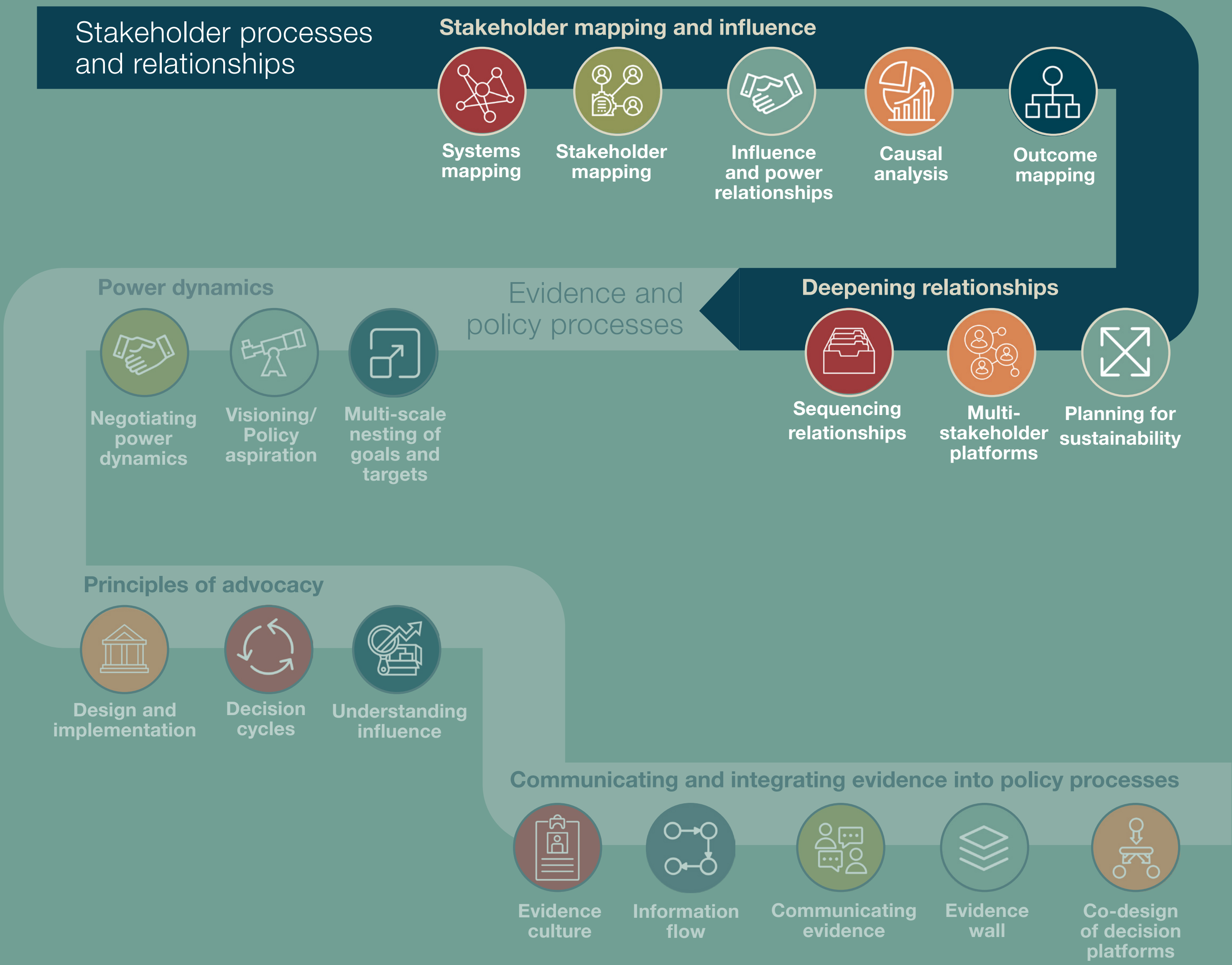


(Source: FAO, 2020, in conformity with the Map No. 4170 Rev. 19 UNITED NATIONS, October 2020)

Figure 4.2 Sharing lessons and what is working well across the RFS projects

Methods, tools and ppproaches applied to RFS Country programs:

Stakeholder processes and relationships



4.1 Stakeholder mapping and influence

Approaches to identify and analyze stakeholders as well as developing engagement plans and tracking are outlined in this section of the toolkit.

The tools cover a range of approaches from appreciating the diversity of stakeholders in the system and to address underlying causes to mapping and analysing them to identify engagement plans. Visioning to align stakeholders and outcome mapping to track changes resulting from engagements.

Systems mapping
To visually explore the system, its elements and understand the diversity of stakeholders.

Stakeholder mapping
To map individuals, groups and organizations that have a stake in the topic or issue of focus to identify who must be engaged.

Influence and power relationships
To analyze and understand the interest, power and relationships of and between stakeholders so that effective engagement can be planned.

Causal Analysis
To understand what issues underpin identified barriers to achieving a desired outcome and to ensure we address causes rather than symptoms and identify which stakeholders must be involved to address these.

Outcome mapping
To capture and track observable changes in the behaviours, actions, activities and relationships of targeted stakeholders.

RFS Country insights

Within the RFS Country projects, some form of stakeholder mapping had been completed at the project design phase. But as the projects have developed and specific policy and institutional engagements are needed, a new or review of existing stakeholder mapping was considered useful in many cases, for example:

In **Senegal**, stakeholder and activity mapping had been initiated through regional workshops but more analysis was needed.

In **Tanzania**, there was interest in building upon the initial design document stakeholder map to update the stakeholder mapping and engagement plans.

The **Burkina Faso** project also indicated interest in undertaking stakeholder mapping.

Kenya projects indicated the multiple sectors and priorities they were addressing by working at water catchment scale which related to system mapping.

Eswatini projects were interested in land health monitoring and how this links into chiefdom planning which was relevant for system mapping.

Some countries were engaged in detailed stakeholder engagement processes, such as **Nigeria**, where an inclusive policy review process had been undertaken. Nigeria is also engaged in an outcome mapping training through RFS.

Uganda country project is also engaged in the RFS outcome mapping training.

STAKEHOLDER MAPPING AND INFLUENCE

Systems mapping

Thinking in systems requires a shift in mindset or perception to consider the complexity and inter-relationships of the world we occupy. Systems thinking is a mindset, a tool, and a process all used for complex problems.

What is it?

Systems mapping provides **a visual way of exploring the system, its elements, connections and complexity**. It allows us to diagram the different aspects of the systems in which we are working to take into account social, economic, environmental dimensions and how they interact. Stakeholder mapping should be done in a participatory way and undertaken by stakeholders within the system being mapped as well as those that may influence it, allowing stakeholders to put forward their insights, perspectives and ideas around the system. The conversations that take place around the maps are often as important as the maps themselves. Systems mapping can also provide an opportunity to see how drivers may impact different parts of the system, underscoring the interconnectedness of actions and how implementation can address the different elements.

WHAT IS A SYSTEM?

A **system** is an interconnected set of elements that is coherently organized in a way that achieves an outcome. There are three main parts to systems mapping:

1. **Elements** – the different, discrete elements within the system (farms, organizations, inputs, soil, etc.)
2. **Interconnections** – these are the relationships that connect the elements (rules, ideas, funding or service relationships, among others)
3. **Function and purpose** – the purpose of the system is around the outcomes the system is meant to achieve (food and nutritional security, environmental sustainability).

Why we use it

Mapping systems can be used as a basis for **understanding the system in which one is operating** and the stakeholders and their relationships, issues, and the influence of trends.

Key steps

1. Consider which system is relevant to the scope and the purpose or desired outcome of that system
2. Diagram the elements and relationships of system through a participatory process to bring in different perspectives
3. When the system is drawn, have the participants consider other stakeholders that may need to be involved in problem solving, planning and policy processes

Additional resources

Understanding systems thinking:

Meadows, D.H. 2008. *Thinking in Systems: A primer.* Sustainability Institute. Vermont, Chelsea Greene Publishing Company.

Goodman, M. 2018. *Systems thinking: What? Why? When? Where and How?* online The Systems Thinker https://thesystemsthinker.com/systems-thinking-what-why-when-where-and-how/

Mapping systems:

The Foresight Design Initiative. 2017. *What does a system map even mean?* online The Foresight Design Initiative. https://www.foresightdesign.org/blog/2017/12/27/what-does-a-systems-map-even-mean

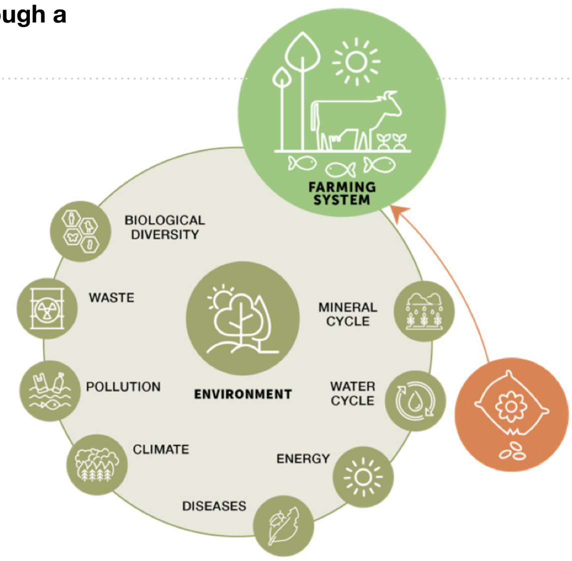
Tools for systems thinkers:

Acaroglu, L. 2017. *Tools for Systems Thinkers: Systems Mapping.* online Medium. https://medium.com/disruptive-design/tools-for-systems-thinkers-systems-mapping-2db5cf30ab3a

1 Consider which system is relevant to the scope and the purpose or desired outcome of that system.

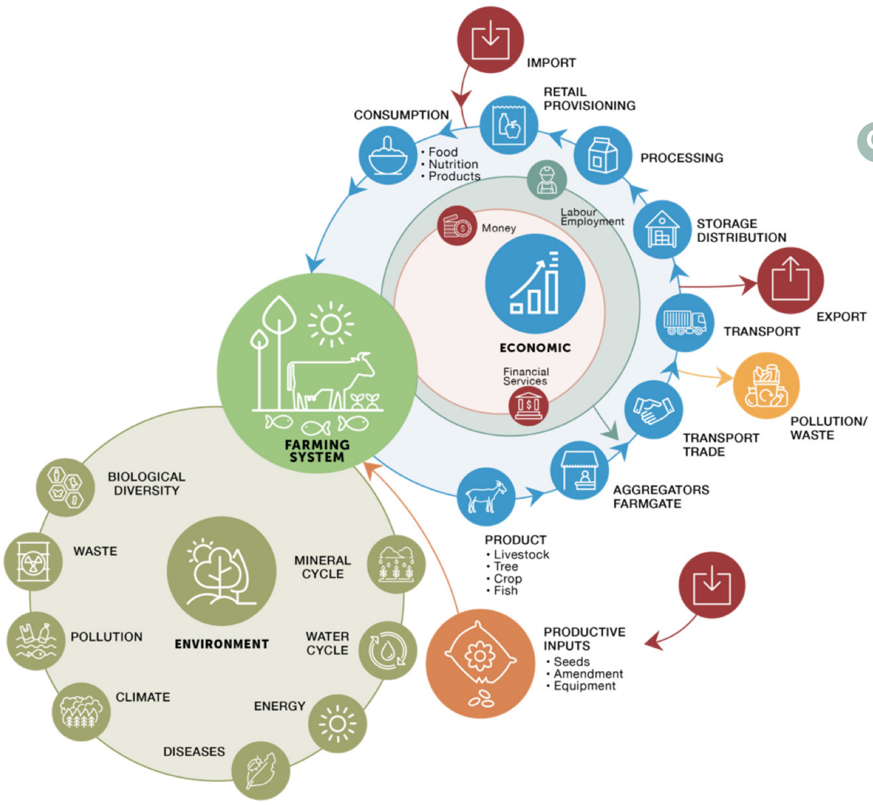
Working to ensure resilient food systems, in this example, we are mapping an agri-food system. The purpose or desired outcomes of the agri-food system includes food and nutritional security, socio-economic outcomes, environmental outcomes.

2 Diagram the elements and relationships of system through a participatory process to bring in different perspectives



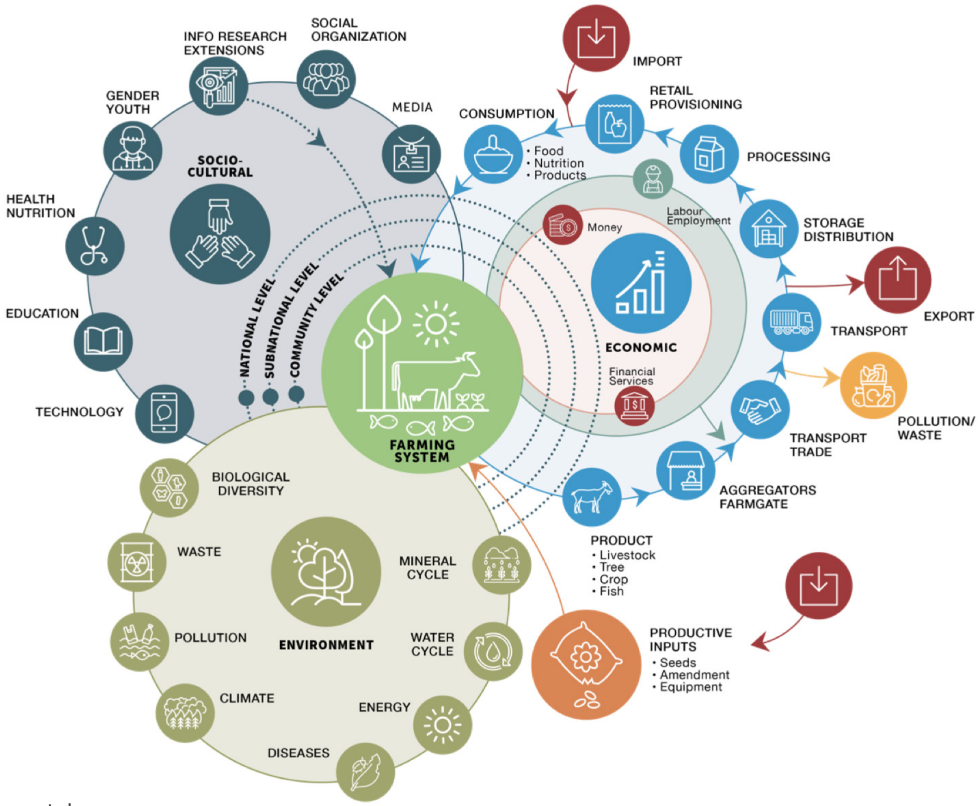
A At the centre of our diagram is an **integrated farming system** which in itself is a system including: the different farm or household characteristics, crop-livestock-tree production and decision making processes, and household production and decision making processes. The farming system and householders is interacting within a social, environmental and economic system.

B To map this, we can add the **environmental dimension** with which the farming system is interacting. The environmental dimension shows the ecosystem functions that underpin or support the farm and its surrounding landscape or are influenced by farming system (e.g. pollution).

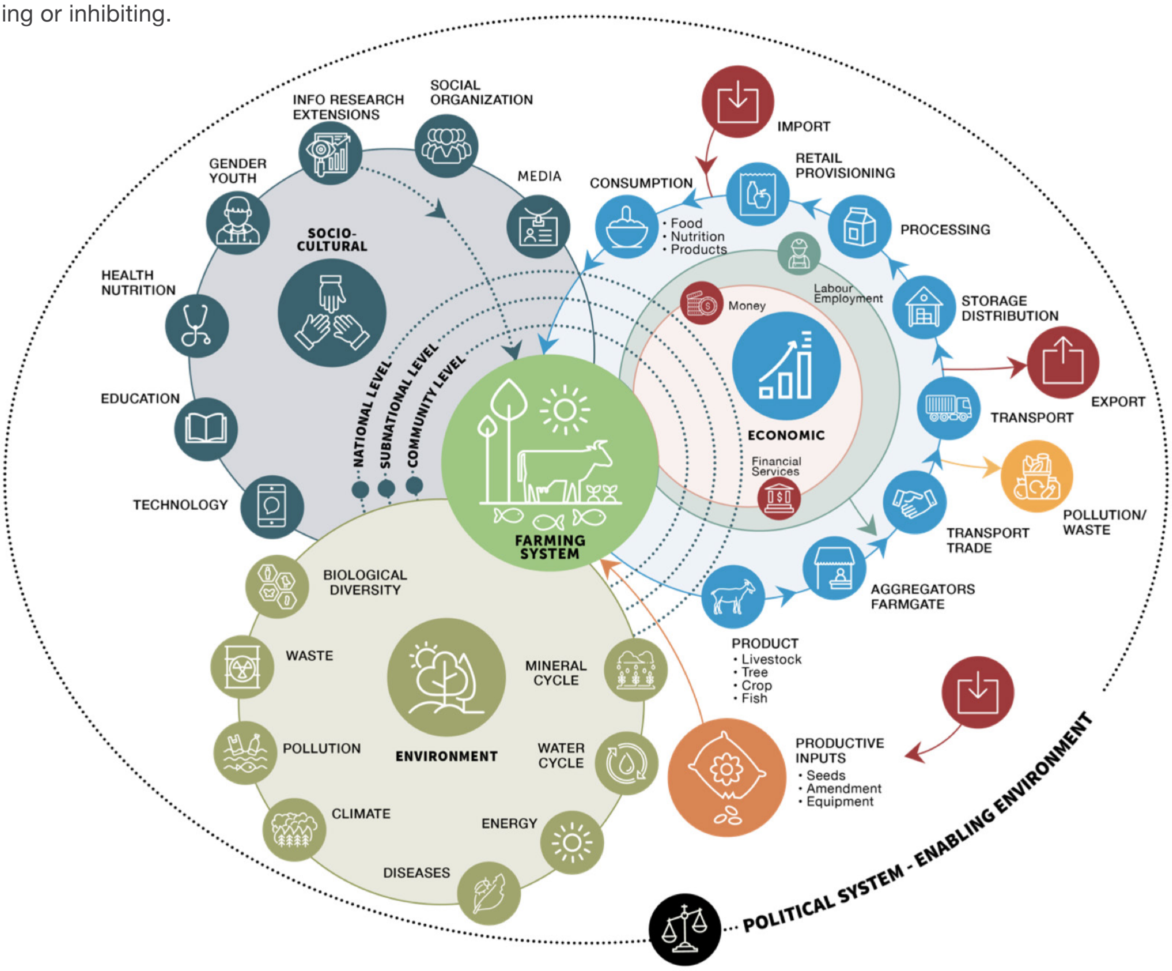


C The farming system is also interacting with the **economic dimension** of the system. The products of the farm go into a value chain supporting the livelihoods of different actors (laborers, traders, aggregators, transporters, processors, etc.), money flows, and food provision. Elements of the economic system are brought back to the farm (money, inputs, labour) and the value chain also interacts with a wider system through imports and exports.

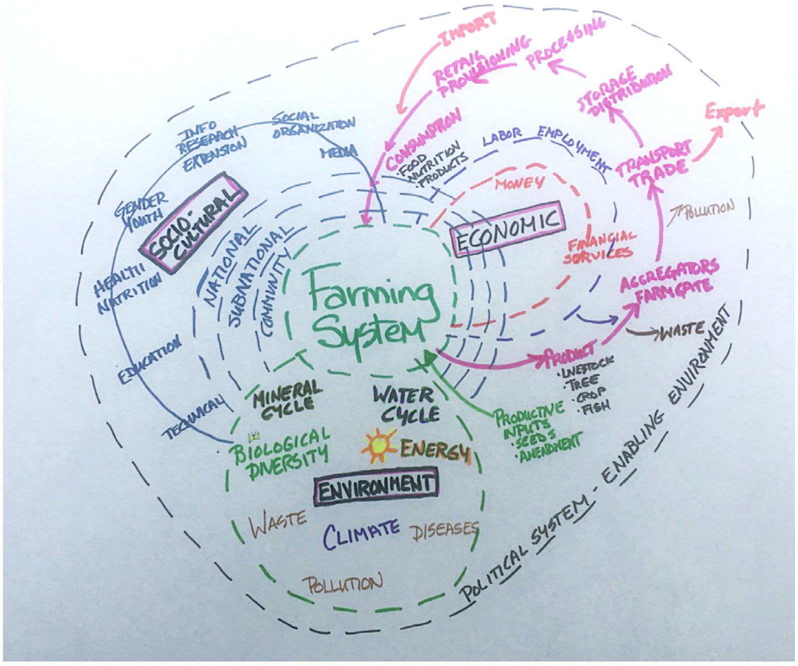
D The farming system is interacting with a **socio-cultural dimension** of the system which includes, for example, social networks and different social services and other actors and elements in society. In this diagram we can see how the environmental, socio-cultural, and economic dimensions interact with each other and across scales from farm to national levels.



E Lastly, the socio-cultural, environmental and economic dimensions influence and are influenced by the **political dimension** of the system which can either be enabling or inhibiting.

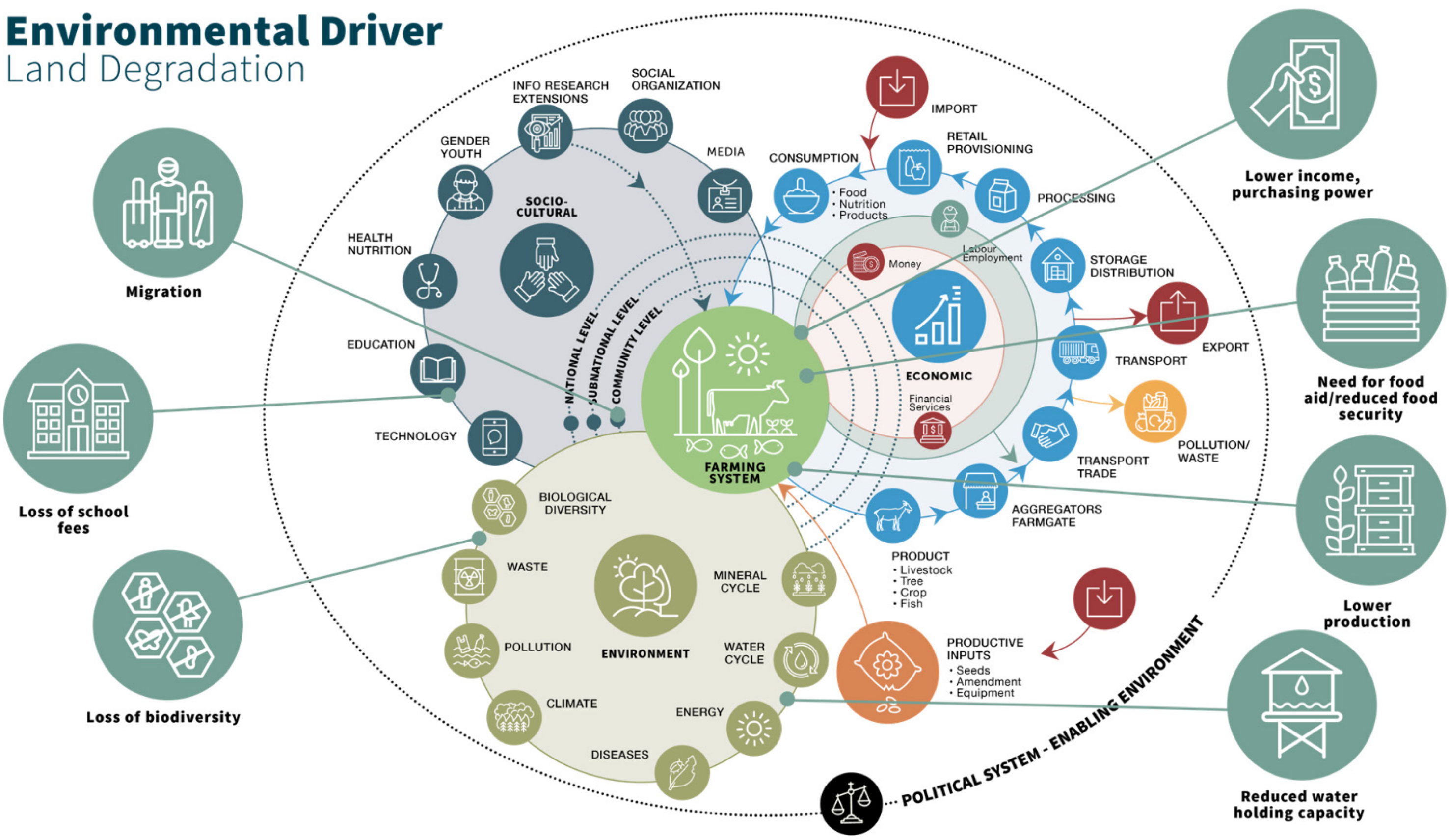


F Drawing the diagram through a participatory process just requires markers and a flipchart sheet and stakeholders who want to map their system.



3 Considering the impacts of different drivers

Once the system is drawn, the diagram can be used to rapidly look at the different socio-cultural, environmental and economic implications of different drivers. In this example, we apply the environmental driver of land degradation to discover the potential implications throughout the system.



Practical considerations

Approximate time needed:

Preparation: 15 minutes

Implementation: 1 hour

Applicable location or level:

- [x] village/field
- [x] community/landscape
- [x] subnational
- [x] national
- [x] outdoor setting
- [x] indoor workshop
- [x] virtual workshop

Additional notes: *Can be applied in a field/village level indoors or outdoors, at all levels in a workshop setting and with good internet capability can be applied virtually.*

Materials needed:

- [x] flipchart or butcher paper
- [x] marker pens of multiple colours
- [x] sticky notes if available
- [x] Miro/Mural/related software (for virtual workshops)

Types of stakeholders engaged/represented:

- [x] villagers/pastoralists/farmers
- [x] local/national governments
- [x] research and development institutions
- [x] private sector

Additional notes: *It is valuable where possible to have a mix of stakeholders associated with the system (including women and men) whether within the community or from different institution types to foster robust thinking and discussion. Theses stakeholders can represent one scale or multiple scales.*

Number of stakeholders engaged/represented:

Specific working groups should be limited to 6-8 persons.

Facilitation experience level needed:

- [ ] minimum
- [x] moderate
- [x] expert

STAKEHOLDER MAPPING AND INFLUENCE

Stakeholder mapping

What is it?

Mapping of individuals, groups and organizations that have a stake in the topic or issue of focus.

Why we use it

To identify stakeholders that are present and those that need to be engaged. It is a critical exercise to undertake when starting a new project or specific policy engagement or as a review of stakeholder mapping that may have taken place at the initiation of the project.

Consideration for RFS

As the project evolves from the design document stakeholder mapping, so too might the stakeholders. Mapping stakeholders and updating your engagement plan as the project develops ensures that relevant stakeholders are included.

Key steps

1 Clarify the engagement focus

Stakeholder mapping can be completed for a whole project but is also relevant for a specific engagement focus such as a policy issue. The first step of stakeholder mapping is to clearly articulate as a project team or wider group what the focus topic or theme for engagement is. Also important is to determine if you are mapping stakeholders at the nation, sub-national or local areas, or across all levels. The geographic focus may also be important if the focus is on sub-national or local.

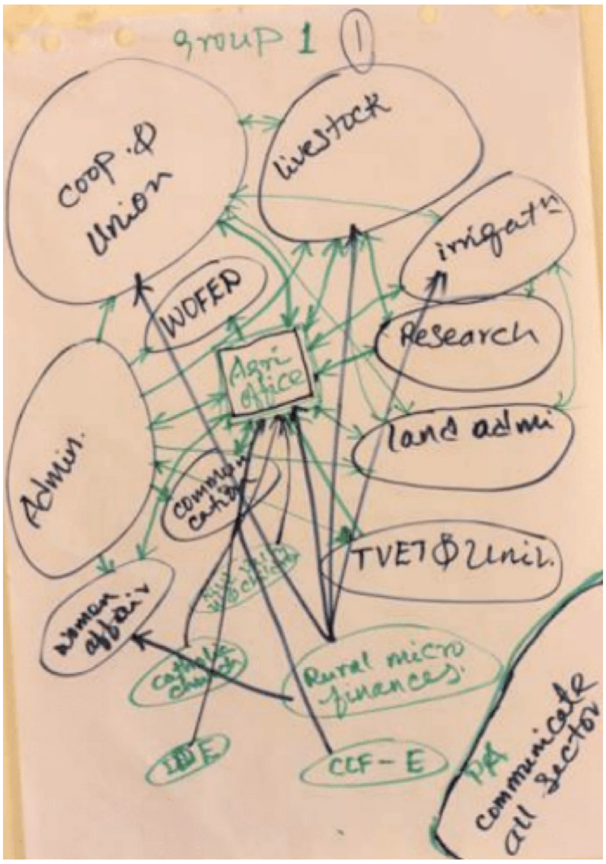
The focus topic or issue, level and geographic scope defines the area and types of stakeholders you map.

2 Map stakeholders through participatory exercises or surveys

Stakeholders can be mapped using participatory exercises or surveys, both approaches are described on the following pages.

PARTICIPATORY STAKEHOLDER MAPPING

Participatory mapping can be completed as a small group or in a larger workshop or meeting. It is important to have a wide range of stakeholder groups represented during the mapping to ensure different perspectives are captured. If a small group undertake the mapping, a validation exercise with a wider group may be necessary at a later stage. Within large workshops, you will want working groups of 6-8 people each to work on the exercise and then bring the different maps together at the end.



A List stakeholders related to the topic or issue and at the level and geographic area defines in step 1. Think widely to ensure government, development, civil society/community, private sector and research are included. A review of the systems map and causal analysis described in this section of the toolkit can also help in identification of stakeholders.

B Draw each stakeholder as a separate circle on a flip chart paper with the size of the circle showing perceived importance. Stakeholders that are very important to the success of the topic should be drawn as larger circles. Colours can also be used to show the different stakeholder groupings if desired.

C Use lines with arrows between circles to show connections and inter-relationships. The lines should go between stakeholder circles and indicate that these stakeholders are linked through collaboration, funding, information exchange or other identified relationships. Arrows can be used to show the direction of the relationship with two-way relationships shown with arrows pointing towards each stakeholder circle.

Note: Keep records of the discussion during these sessions as important stakeholder information will be shared verbally during the exercise.

Practical considerations

Approximate time needed:

Preparation: 30 minutes

Implementation: 30 minutes - 1 hour

Applicable location or level:

- ☑ village/field
- ☑ community/landscape
- ☑ subnational
- ☑ national
- ☑ outdoor setting
- ☑ indoor workshop
- ☑ virtual workshop

Additional notes: *Can be applied in a field/village level indoors or outdoors, at all levels in a workshop setting and with good internet capability can be applied virtually.*

Materials needed:

- ☑ flipchart or butcher paper
- ☑ marker pens of multiple colours
- ☑ sticky notes if available
- ☑ Miro/Mural/related software (for virtual workshops)

Types of stakeholders engaged/represented:

- ☑ villagers/pastoralists/farmers
- ☑ local/national governments
- ☑ research and development institutions
- ☑ private sector

Additional notes: *It is valuable where possible to have a mix of stakeholders for robust thinking including men and women.*

Number of stakeholders engaged/represented:

Specific working groups should be limited to 6-8 persons.

Facilitation experience level needed:

☑ minimum ☑ moderate ☐ expert

MAPPING STAKEHOLDERS THROUGH A SURVEY

Stakeholders can also be mapped using surveys. This option can be useful to collect more detailed information on individual stakeholders and can be used to replace or compliment the participatory mapping.

The survey option can be through a) individual interviews, b) providing a survey to participants at a workshop or c) through email. There are benefits and costs for each option. Individual interviews can be useful if you are trying to reach high-level people that may not attend a workshop, but they require more time and resources than the other options, these costs can be reduced by using phone surveys. Surveys given to workshops participants can be effective as it ensures a good response rate and you can answer questions in-person, but it will not include stakeholders that do not attend workshops. Emailing stakeholders can be efficient, particularly when in-person events are not possible, but response rates through email are generally much lower.

A range of survey tools can be used with the examples below drawn from recent applications.

Kenya Agroforestry Strategy development stakeholder mapping process

Please list at least 10 organizations you interact with on agroforestry in Kenya

Name of organization / stakeholder	Contact person (name and email or phone number)	Role of organization / stakeholder (e.g. policy development, implementing NGO, research etc)	How important is the relationship with them or their information to you? 1. Very 2. Moderately 3. Not very

Note: You also need to collect information on the person filling the survey including their gender and role and the role of the organization they represent.

Regreening Africa project national level workshop in Ethiopia

When the stakeholders are mostly known and your interest is in understanding which organizations are most important and what connections exist, you can offer a survey where the respondent just has to tick the level of collaboration or interaction.

Note: always give the option of adding additional stakeholders you may have missed

Which of the following organisations (that are represented in this workshop) does your organisation interact with on restoration/ agroforestry *

Please tick for the organisations you interact with only

Check all that apply.

	1 - interact but limited collaboration	2 - some collaboration	3 - close collaboration
(MEFCC) Ministry of Environment, Forest and Climate Change	☐	☐	☐
Ministry of Agriculture and Natural Resources	☐	☐	☐
Agr. Trsformation Agency (ATA)	☐	☐	☐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STAKEHOLDER MAPPING AND INFLUENCE

Influence and power relationships

What is it?

Analysis and interpretation of the interest, power and relationships of and between stakeholders.

Why we use it

When developing stakeholder engagement and management plans, it is important to understand levels and kinds of influence among stakeholders that may affect the relationships. Stakeholder analysis can also be used to monitor connections over time.


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Key steps

1. Conduct analysis using an interest-power grid and/or using social network analysis.
2. Develop stakeholder engagement plans.

1 Conduct analysis using an interest-power grid and/or using social network analysis

There are a number of approaches that can be used to conduct analysis of the stakeholder information you will have collected during the stakeholder mapping. Two approaches are outlined below but for each approach, additional information will be needed on the stakeholders. This information includes the type of organization it is or about the individual if it is not an organization and details on the person filling the survey. Also, the role that stakeholder (individual, group or organization) plays in the issue or topic of focus and how much they influence project development, resource allocation, policy and information dissemination.

The example below was used for the agroforestry strategy in Kenya but could be adapted to any context.

Question	Response
Please write your name	
Please indicate your gender (tick one)	☐ Female ☐ Male
Please share your contact number / email address	
Please write the name of the Organization you are representing	
What type of Organization is this? (tick one)	☐ Government (National) ☐ Government (County) ☐ Business / Private sector (for profit) ☐ NGO (Non-Governmental Organization) ☐ Academic or research Organization ☐ Farmer's Organization/union ☐ Religious ☐ Other (specify) ______________________
What is your main role (position) in this Organization or body? (tick one)	☐ Director/Chair/Leader ☐ Unit Head/Manager ☐ Program/Project/Extension Officer ☐ Commissioner/chief ☐ Other (specify) __________
What is your organizations role in relation to agroforestry?	
To what extent is your organization involved in the development and design of agroforestry programmes and projects? (tick one)	☐ To a large extent ☐ To a medium extent ☐ To a small extent ☐ Not at all
To what extent does your organization influence government policy development related to agroforestry? (tick one)	☐ To a large extent ☐ To a medium extent ☐ To a small extent ☐ Not at all
To what extent is your organization involved in disseminating information on agroforestry? (tick one)	☐ To a large extent ☐ To a medium extent ☐ To a small extent ☐ Not at all
To what extent is your organization involved in markets or incentives related to agroforestry? (tick one)	☐ To a large extent ☐ To a medium extent ☐ To a small extent ☐ Not at all
To what extent is your organization involved in disseminating information on agroforestry? (tick one)	☐ To a large extent ☐ To a medium extent ☐ To a small extent ☐ Not at all

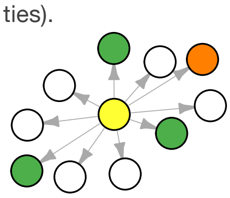
SOCIAL NETWORK ANALYSIS

Social network analysis (SNA) can be used to analyze and visualise social networks. It can identify which stakeholders are the most connected and influential in a network as well as where gaps exist in communication and relationships.

A number of software programs exist for SNA including:

- NetDraw
- R environment
- NodeXL

The information used for the social network analysis can be collected using the surveys outlined above combined with that described under the stakeholder mapping tool. The information can be entered into excel and arranged into two sheets, one on the stakeholders (called nodes) and one on the connections (called ties).

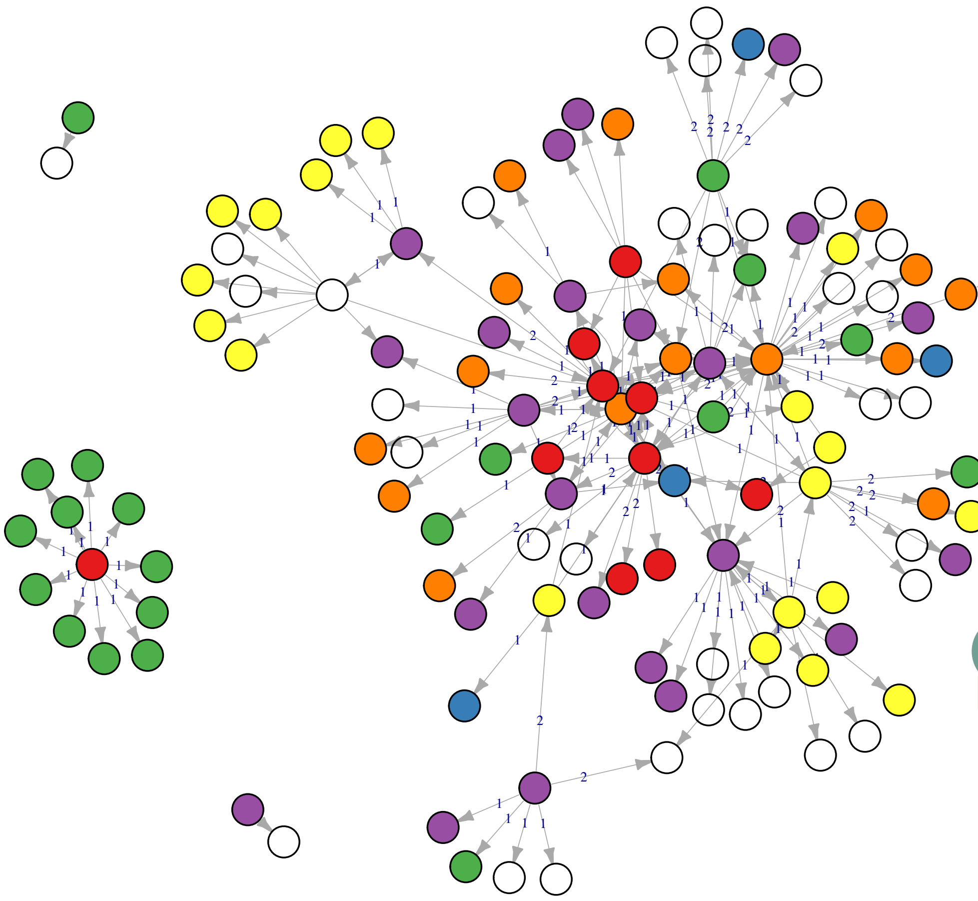


A resource which includes detailed steps that are needed to clean the data and conduct the analysis in NetDraw can be found in the resources section of this tool.

Once the data has been entered into the software, sociograms can be developed, such as the example below from the Kenya Agroforestry Strategy process. The colours indicate the type of organization (government, private etc.) and the numbers show the type of relationship between the stakeholders. You can also calculate which stakeholders are the most connected, are important to hold the network together and who can transfer information most quickly.

The network shows where groups of stakeholders are not connected and those stakeholders that are well connected. This is an important perspective that Social Network Analysis can add.

These stakeholder maps can also be generated before and after a series of engagements to show the changes in the network and relationships among stakeholders over time.



Consideration for RFS

Social network analysis requires some capacity and software skills to undertake. These skills can be built in the team or a consultant can be recruited to undertake the analysis.

STAKEHOLDER INTEREST-POWER GRID

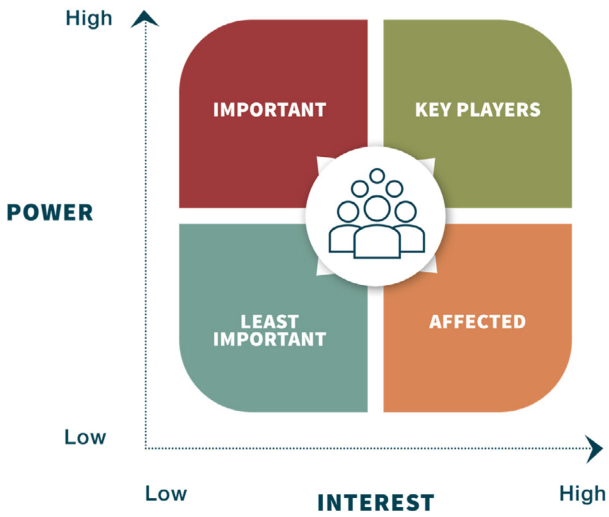
This is a popular approach to analysing individual stakeholders' interest and power.

For this analysis, information from the survey outlined at the start of this step, where the stakeholder's level of engagement in the topic or theme of interest and how much they influence the allocation of resources, policy development, implementation of programs and information dissemination will be used. This information informs the interest-power grid.

Based on the responses to the survey questions, a small project team can place stakeholders onto the grid, which can be drawn on flip chart paper. If survey information is not available a project team with a few well-connected stakeholders can develop this grid but it should be sent for consultation with a wider group.

For each stakeholder, consider how much they can influence the outcome of the issue or topic of focus, including around resource allocation, information dissemination, policy and program development, this will dictate how much power they have. Social Network Analysis results, if completed, can also be used here. Then consider what role they have in the issue or topic of focus and how much they could be impacted by the outcomes; this will determine their level of interest. Stakeholders can have high power but low interest or low power and high interest, and any range of combinations in between.

The engagement approach will then be dictated by the position of each stakeholder in the grid.



Note: Inclusion is important. There may be groups that have high interest and can be impacted by decisions related to your topic that have low power. Their inputs should be sought through the process and not just informed.

Note: Capture the discussion that takes place when determining the position of each stakeholder as this will be useful information to reflect on in the next step.

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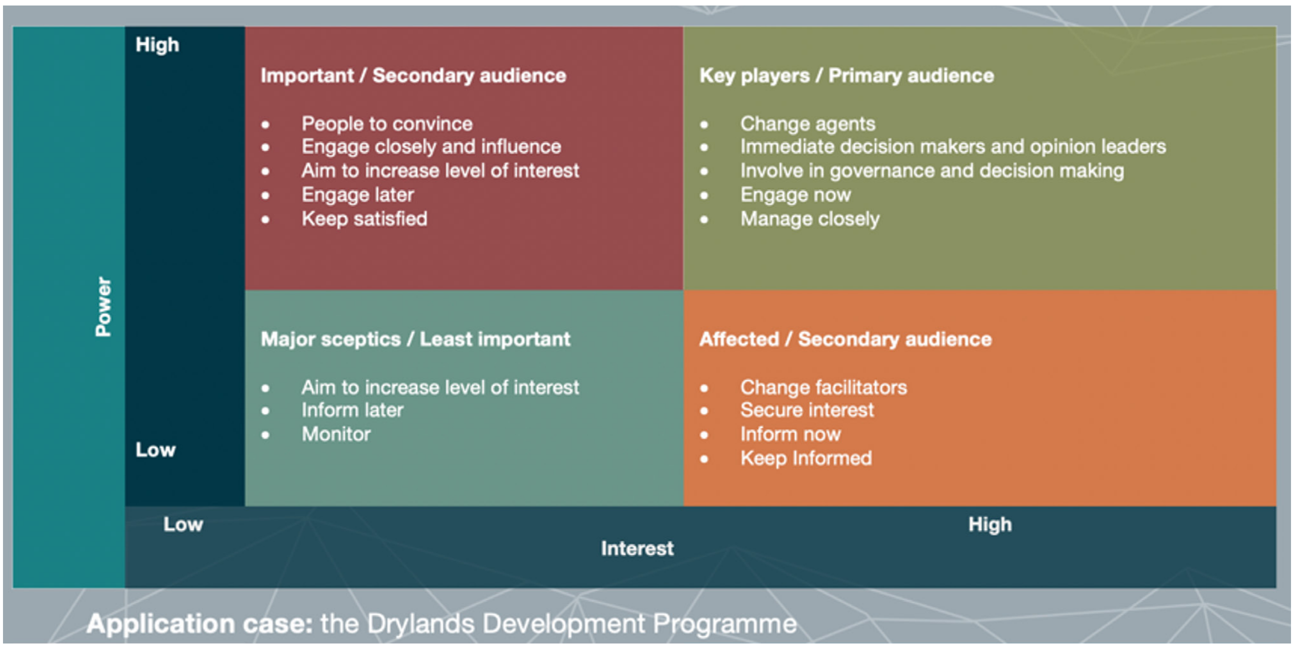
2 Develop stakeholder engagement plans outlining how stakeholders will be engaged and broad actions to enhance the stakeholder network.

Using the information from the analysis, including the Social Network Analysis if completed and the Interest-Power grid, you will be able to see what type of engagement each group of stakeholders will need. Engagement level will differ by power/interest from inform, through consult, collaborate and empower.

Using this grid and reflecting on the notes from the team discussions, start grouping stakeholders and writing out how you will engage them. This will form the basis of your stakeholder engagement plan.

Gaps in connections from the Stakeholder Mapping and Social Network Analysis can be filled through targeted engagement and stakeholder coordination. This means that some engagement activities will not be based on stakeholder Interest-Power but rather on trying to bring together uncoordinated stakeholders or bridging between stakeholders that must work together to achieve the desired outcomes related to the topic or issue of focus.



Practical considerations

Approximate time needed:

Preparation: 1 hour

Implementation: 2-3 hours

Analysis: 1 day

Applicable location or level:

- [x] village/field
- [x] community/landscape
- [x] subnational
- [x] national
- [x] outdoor setting
- [x] indoor workshop
- [x] virtual workshop

Additional notes: *Can be applied in a field/village level indoors or outdoors, at all levels in a workshop setting and with good internet capability can be applied virtually.*

Materials needed:

- [x] flipchart or butcher paper
- [x] marker pens of multiple colours
- [x] sticky notes if available
- [x] Miro/Mural/related software (for virtual workshops)

Types of stakeholders engaged/represented:

- [x] villagers/pastoralists/farmers
- [x] local/national governments
- [x] research and development institutions
- [x] private sector

Additional notes: *A mix of stakeholders where possible including men and women.*

Number of stakeholders engaged/represented:

Specific working groups should be limited to 6-8 persons.

Facilitation experience level needed:

- [ ] minimum
- [x] moderate
- [x] expert

Additional notes: *Moderate to expert with specific skills needed for analysis.*

Additional resources

In-depth stakeholder mapping and engagement:

Ackermann, F., Eden, C. 2011. Strategic Management of Stakeholders: Theory and Practice. *Long Range Planning*, 44, 179-196. https://www.researchgate.net/publication/222804628_Strategic_Management_of_Stakeholders_Theory_and_Practice

Stakeholder and social network analysis tools:

Hovland, I. 2005. *Successful Communication. A Toolkit for Researchers and Civil Society Organizations.* Rapid. London. Overseas Development Institute https://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/192.pdf

Social network analysis data entry and cleaning steps:

Bourne, M., Makui, P., Muller, A. & Gassner A. 2014. Social network analysis for determining gender-differentiated sources of information and tree seedlings in: Catacutan, D., McGaw, E. & Llanza M.A., eds. *Equal Measure: A User Guide to Gender Analysis in Agroforestry*. Philippines. World Agroforestry Centre http://www.worldagroforestry.org/output/equal-measure-user-guide-gender-analysis-agroforestry

STAKEHOLDER MAPPING AND INFLUENCE

Causal analysis

What is it?

A root cause analysis or simple causal analysis is used to understand what issues underpin identified barriers to achieving a desired outcome.

Meeting development challenges has often meant that problems are treated in isolation or symptoms are treated without addressing underlying issues or root causes. Causal analysis can be valuable for understanding system linkages, breaking down problems and identifying different stakeholders and new collaborative partnerships to work on solutions. A causal analysis can also be applied to a policy as part of the developing a policy or analysing a policy to understand if the policy is addressing a symptom or a root cause. Root causes can also be applied to successes when a team wants to understand what were the underlying efforts that led to the success.

Why we use it

A causal analysis is used to look at identified barriers to detect underpinning or root causes that reflect deeper economic, economic, social, cultural, environmental, institutional, and political reasons as well as different world views or behavioural drivers. These deeper causes are those that have to be overcome to meaningfully tackle development challenges and achieve aspirations. The causal analysis helps build an understanding of the systems nature of the problem. The causal analysis differentiates between symptoms and causes. Lastly, the causal analysis can be used to understand implications of not addressing the root cause.

Additional resources

Tableau. 2020. *Root cause analysis explained with examples and methods.* online Tableau. https://www.tableau.com/learn/articles/root-cause-analysis

Practical considerations

Approximate time needed:

Preparation: 30 minutes

Implementation: 1.5 hours

Applicable location or level:

- [x] village/field
- [x] community/landscape
- [x] subnational
- [x] national
- [x] outdoor setting
- [x] indoor workshop
- [x] virtual workshop

Additional notes: *Can be applied in a field/village level indoors or outdoors, at all levels in a workshop setting and with good internet capability can be applied virtually.*

Materials needed:

- [x] flipchart or butcher paper
- [x] marker pens of multiple colours
- [x] sticky notes if available
- [x] Miro/Mural/related software (for virtual workshops)

Types of stakeholders engaged/represented:

- [x] villagers/pastoralists/farmers
- [x] local/national governments
- [x] research and development institutions
- [x] private sector

Additional notes: *It is valuable where possible to have a mix of stakeholders for robust thinking including men and women. Theses stakeholders can be all from one scales or across scales.*

Number of stakeholders engaged/represented:

Specific working groups should be limited to 6 persons.

Facilitation experience level needed:

- [ ] minimum
- [x] moderate
- [x] expert

Key steps

Working with different stakeholders, the key steps outlined below will lead to a clearer understanding of both the deeper issues that need to be addressed and the different actors or partnerships that need to be in place to address them.

1 **Brainstorm the different barriers and prioritize the barriers to achieving the vision or aspiration (section 4.3).** In this step, we brainstorm the many barriers and then prioritize key ones that the group feels need to be addressed.

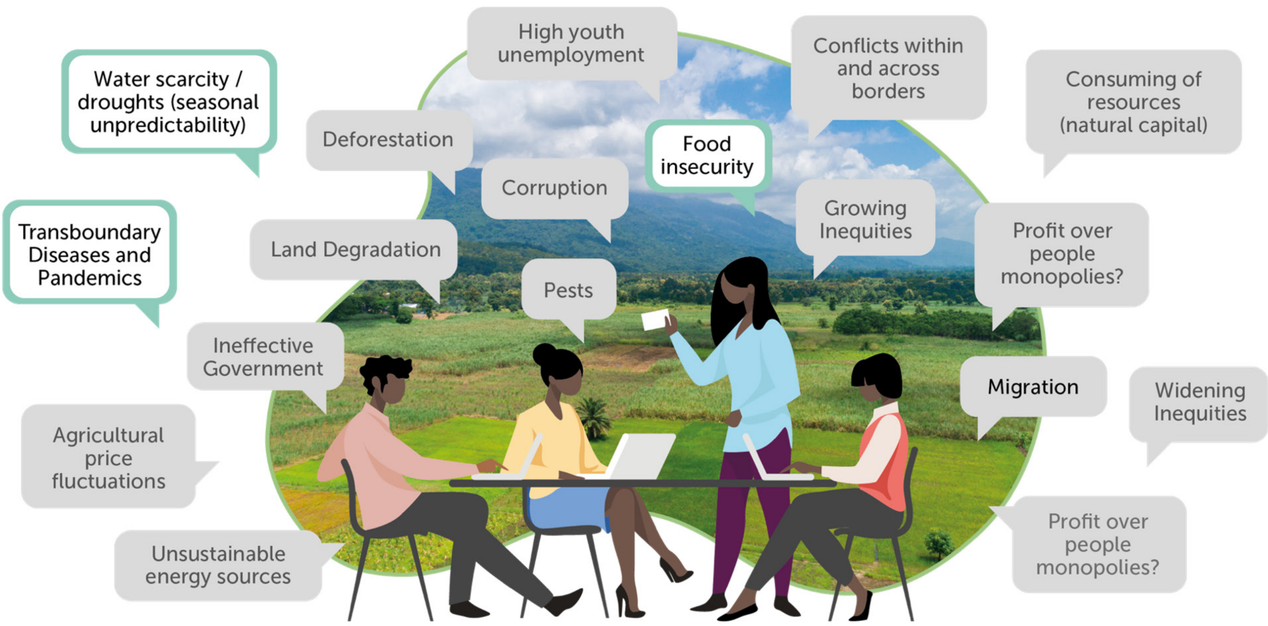
2 **Identify initial causes in a chain of levels to identify the root cause.** Using one of the prioritized barriers at a time, place the barrier at the centre of the sheet or virtual board. Then ask, "what are the causes of this barrier?" and place that next to the central barrier. When a cause is identified, ask again, "what is the cause of this?" and place that next to the cause. Do this until you reach the root cause, the cause for which you cannot think of any additional causes.

3 **Consider the implications of this barrier if it is not addressed.** In this step, ask "what will be the result if the barrier or its causes are not addressed?" In a similar fashion, continue to ask about the different implications.

4 **Looking across the root causes and implications, categorize those that are social, economic, institutional, political, cultural, environmental, etc.** The purpose of this step is to understand the different dimensions that are involved in solving this barrier.

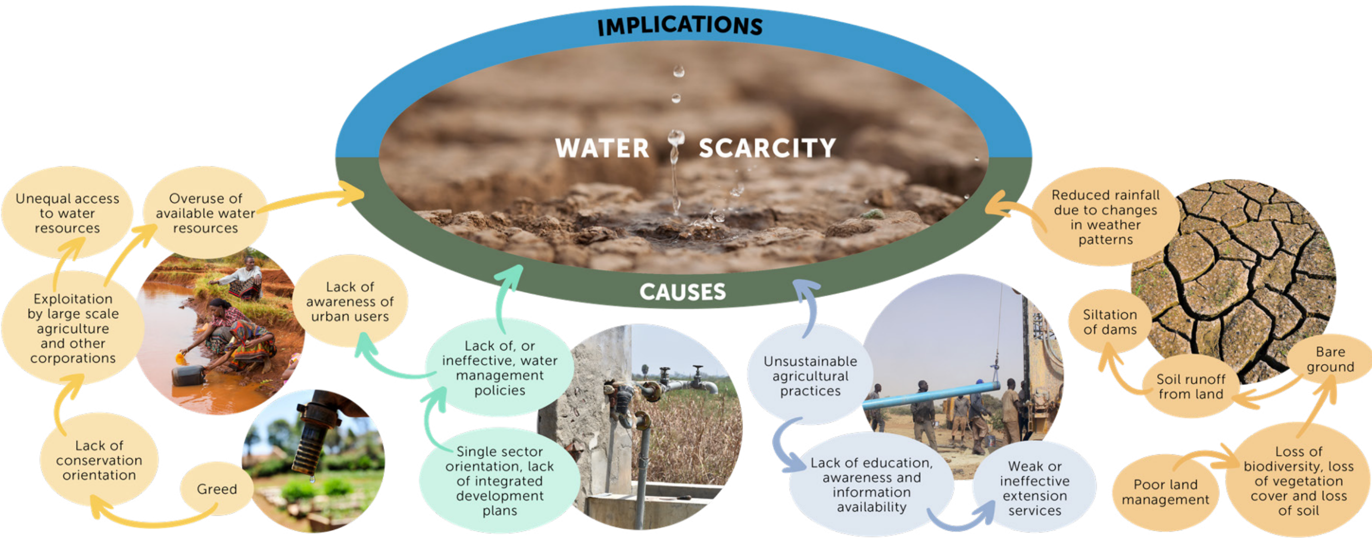
5 **Looking across the root causes and implications, categorise the types of stakeholders that would have to be involved to solve the underlying causes of the barrier.** In the last step, we look through the causes and implications and see which stakeholders may need to be working together to solve the underlying issues. These can be, for example, government departments, NGOs/CBOs, farmers/pastoralists, youth and women's organizations, advisory groups, UN agencies, researchers and training institutions, private sector or others.

1 Brainstorm and prioritize barriers



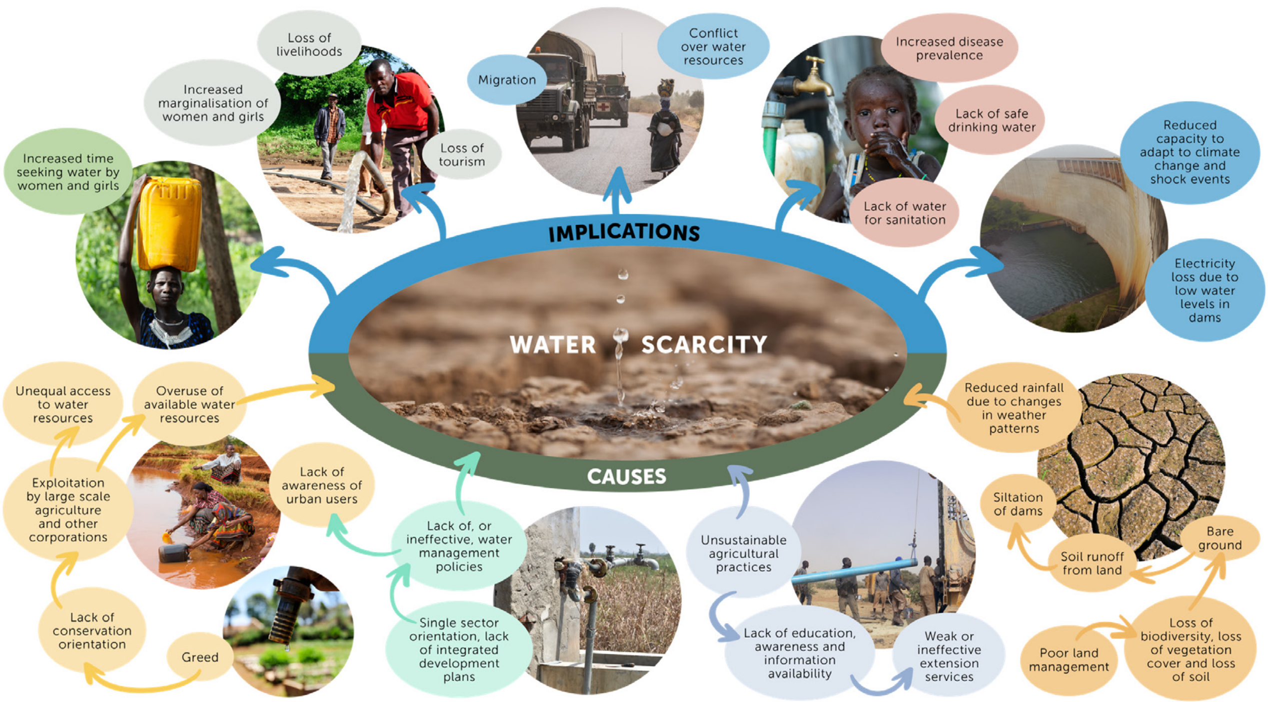
2 Identify initial causes in a chain of levels to identify the root cause.

In this example, we are looking at the barrier of water scarcity. In this case, issues emerge around overuse of the water resources, ineffective water policies, unsustainable land management practices and changes in rainfall patterns. Each of these has further causes, for example unequal access to water and in some cases this stems from corruption and greed; single sector policies that do not address the system; lack of information on land management and ineffective or under-resourced extensionists; and loss of land cover and biodiversity, and erosion leading to lack of water infiltration.



3 Consider the implications of this barrier if it is not addressed.

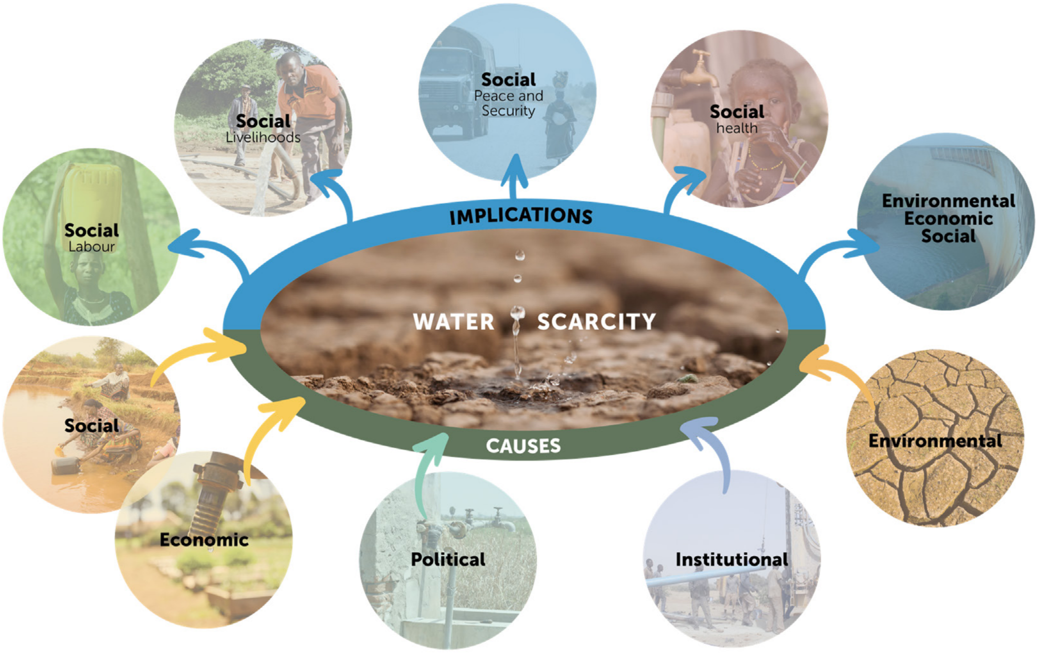
When looking at the implications of water scarcity and not addressing the root causes, some examples of the resulting implications include increased time for women and girls seeking water, migration, conflict, lack of sanitation, loss of electricity and reduced capacity to adapt to the impacts of climate change.



4 Looking across the root causes and implications, categorize those that are social, economic, institutional, political, cultural, environmental, etc.

What is important about this step is recognizing the different dimensions that are involved in problem solving. This underpins the importance of different sectors and actors within a system working together.

In this example, the root causes reflect social, economic, political, institutional and environmental issues. The implications describe social, environmental and economic issues.

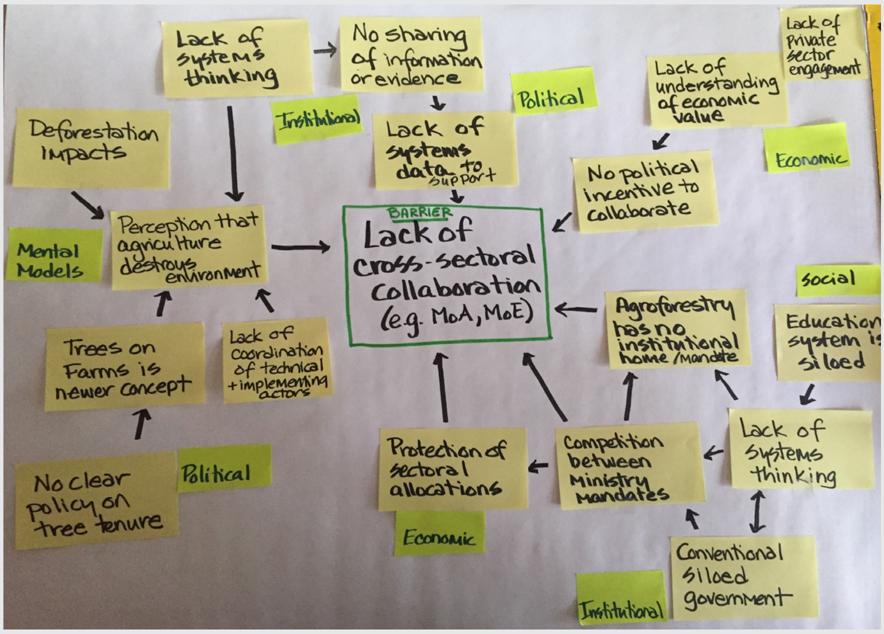


5 Looking across the root causes and categorise the types of stakeholders that would have to be involved to solve the underlying causes of the barrier.

In this step, we identify the different stakeholders and stakeholder types that will need to come to the table to solve the barrier of water scarcity and its underpinning causes and implications. This is a valuable step when organizing partnerships and implementation pathways as part of a strategy to achieve the vision.

Government	Civil Society	Private Sector	Others
• Water Department • Land Department • Agricultural Department (livestock, aquaculture, crop production, extension) • Environment/NRM Department • Health Department • Finance and Planning • Trade Department • Education Department • Department of Culture, Youth, Gender	• Large, medium and small-scale farmers' organizations • Health, education, agricultural, environmental international and local NGOs • Youth groups and entrepreneurs • Women's Organizations • Community-based Organizations	• Agricultural and Tree Product Companies • Aggregators and Processors • Local Farmers' Markets • Sustainable Charcoal and Wood fuel Vendors • Transportation companies • Forestry, Wildlife, Tourism operators	• Research Institutions • UN: FAO, UNEP, UNICEF • Media • Bilateral Donors

While the previous example showed the system causes that underpin a biophysical barrier, in this example, we show that **causal analysis can also be readily applied to institutional barriers.** In this case, it is the barrier of the lack of cross-sectoral collaboration in the government. This is particularly relevant to resilience of food systems which brings together environmental and agricultural dimensions among others.



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STAKEHOLDER MAPPING AND INFLUENCE

Outcome mapping

What is it?

A framework developed by the International Development Research Centre (IDRC) for systematic capture and tracking of observable changes in the behaviours, actions, activities and relationships of targeted stakeholders.

Definition of outcome mapping by IDRC
"As development is essentially about people relating to each other and their environments, the focus of Outcome Mapping is on people. The originality of the methodology is its shift away from assessing the development impact of a program … and toward changes in the behaviours, relationships, actions or activities of the people, groups, and organizations with whom a development program works directly."

Why we use it

To plan, track and adapt engagement with target stakeholders (boundary partners) to towards desired outcomes. It can be used at most places in the project cycle and should complement other data collection tools.

Additional resources

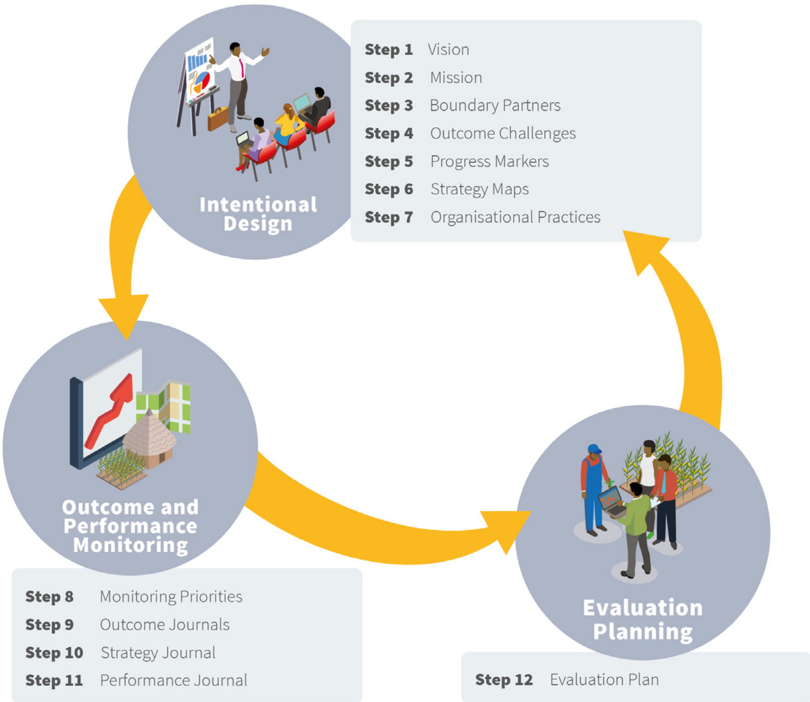
Earl, S., & Carden, F. & Smutylo, T. 2001. *Outcome Mapping – building learning and reflection into development programmes.* Ontario. Canada. International Development Research Centre (IDRC) https://www.outcomemapping.ca/outcome-mapping-practitioner-guide

Key steps

1 Intentional Design

2 Outcome and Performance Monitoring

3 Evaluation Planning



Note: All of the information on outcome mapping steps is drawn primarily from the IDRC practitioner guide shared in the resources Information on practical considerations can also be found in the guide.

1 Intentional design

A Review the projects vision and mission arising from the Theory of Change or review the vision developed with stakeholders related to the specific topic or issue of focus.

B Consider the stakeholders whose behaviour we seek to influence and change (called boundary partners in Outcome mapping). These will have been mapped and analyzed using tools earlier in this section.

C Determine outcome challenges and progress markers

- Once you have identified the stakeholders you want to influence, identify the outcome challenge for each and progress markers that show progress towards the outcome.
- An outcome challenge describes how the behaviour, relationships, activities, or actions of an individual, group, or institution will change if the programme is extremely successful. Should be idealistic but realistic.
- Progress markers are a set of progressive markers and must be measurable. They should advance from a minimum of what we would expect to see the stakeholder (boundary partner) doing as an early response to the program's activities through to what we would like to see and then what it would be great to see them doing.

D Develop strategy maps and organizational practices

- Strategy Maps: A matrix that categorizes six strategy types (causal, persuasive, and supportive), which a programme employs to influence its boundary partner. Strategies are aimed at either the boundary partner or the environment in which the boundary partner operates.
- Organizational Practices: Eight separate practices by which a programme remains relevant, innovative, sustainable, and connected to its environment.

2 Outcome and performance monitoring

During this stage, you can develop a framework to monitor the progress of boundary partners towards the achievement of outcomes; the program's strategies to support outcomes; and the organizational practices used.

3 Evaluation planning

The final iterative phase is where we set priorities so we can target evaluation resources and activities where they will be most useful, which takes us back to the intentional design phase.

Application

©ICRAF/Regreening Africa Project

Simplified SHARED Application in the Regreening Africa Project across eight countries in Africa

While the full outcome mapping process is valuable, not all projects have the capacity to undertake all the steps. In Regreening Africa, a simplified version of the outcome mapping was implemented as the teams did not have the resources to undertake the full process.

The simplified version included most of Step 1 with the identification of the policy or scaling issue to be addressed, identification of stakeholders, outcome challenges, progress markers and strategies for engagement. Monitoring requirements were reduced with an annual assessment of engagement that was undertaken, any evidence against progress markers and proposed changes for the next year, using the table outlined below.

Within Regreening Africa, outcome mapping is being used to track project wider practice and policy influence in each country. It also supports the project countries to reflect on progress annually to be adaptive and to include behaviour shifting activities in the next annual budget and workplan.

Broad policy issue or implementation challenge being addressed	Targeted Stakeholder(s)	Outcome Challenge	Planned Progress Markers	Planned engagement strategies for year	Actual engagement undertaken	Evidence for progress on outcome challenge & progress markers	Change/ lesson/ activities for next year

RFS COUNTRY PROJECT CASE STUDY

Eswatini: Chiefdom Planning process

What is Chiefdom Development Planning?

Chiefdom development planning is a participatory process that seeks to holistically empower people within their own chiefdom socially, educationally and technically to actively plan their own development.

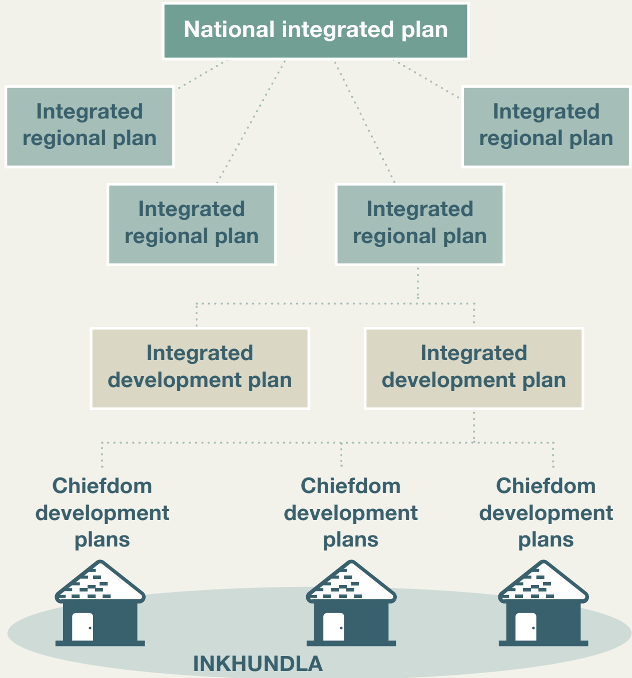
Why Chiefdom Development Planning at national level in Eswatini?

This planning seeks to empower chiefdom people to take charge of their own development initiatives informed by a common vision approved by their local authorities; it also allows a bottom up approach to development of national plans and strategies.

Lead Ministry - Ministry of Tinkhundla Administration and Development (MTAD)

Policy - The Tinkhundla Administration and Development Bill of 2015, acknowledges the need for Chiefdom Development Planning framework and that issues of land are integral to the success of participatory land use planning process. It therefore becomes paramount for all development agencies to lobby for the draft National Land Policy (1999) and draft Land Bill of 2013 that recognize the role of the traditional authority for access of land and security of tenure.

Chiefdom development plans, containing aspirations of individual chiefdoms under a particular Inkhundla, are compiled into an integrated Inkhundla development plan. In each of the four regions, integrated regional plans made up of Tinkhundla integrated plans are brought together to form the national integrated plan.



Eswade's refection on why this has been successful

- **Political will is key.** The King, Prime Minister and regional administrators all back this policy, making it easy based on the political structure and following the government policy based on chiefdoms.
- **Early involvement and stakeholder engagement were key** to involving everyone in the development processes. The Ministry focused on constituencies projects within ESWADE and at each chiefdom level to ensure aspirations down to the village level for development planning were understood.
- **The effort builds off formal and informal structures.** For example, the inner council worked with each chief and the chiefdom development committee within each chiefdom.
- **Training is carried out:** training and induction on the development plan and a multi-module course on training for transformation. The importance of training Traditional Authorities regarding monitoring and respecting the implementation of the Plan, especially matters for environment protection and the need to recognise the validity of bodies including farming companies established as part of the CDP, and their sustainability/
- **The entire chiefdom and community advise how to facilitate the process**. Within each chiefdom there is visioning process and the next five year development process is articulated. The project has community development officers and the Ministry of Tinkhundla Administration (responsible Ministry) do this together to ensure sustainability after the project.
- **Sustainable Land Use Strategies are developed to establish different themes for development.** There is a need to have a formal mechanism for adoption of CDPs including land use plans that establish firm implementation guidelines by all stakeholders and for their inclusion in Inkhundla, Regional and National development plans.

Definition:

Tinkhundla are the foundation for the bottom-up development planning process and the delivery of local services in partnership with central government.

Inkhundla is an administrative subdivision smaller than a district but larger than a chiefdom

4.2 Deepening relationships

This section of the toolkit includes tools and approaches to deepen relationships among stakeholders identified in the previous section of the toolkit.

An approach to sequence relationships for strengthened engagement as well as an approach to developing and strengthening multi-stakeholder platforms and sustaining these efforts are outlined.

Sequencing relationships
To use shuttle diplomacy and iterative conversations and dialogue to strengthen engagement.

Multi-stakeholder platforms
To develop and strengthen platforms for collaboration, partnership and meaningful interaction to support decision-making and multi-level governance processes.

Sustainability
To sustain relationships and platforms.

RFS Country insights

A number of the country projects have developed or are in the process of developing Multi-stakeholder Platforms (MSPs).

Ethiopia has developed 12 district and a federal platform which are outlined in a case study in this section of the toolkit.

The **Senegal** project has revitalized an existing nation and regional platform.

In **Nigeria** there are plans to develop MSP at national at State levels.

Eswatini project formed a National Irrigation and Drainage Committee, which aims to bring together all stakeholders to influence policies related to sustainable land and water management.

Niger project is using regional platforms to influence local community plans and integrate SLM principles.

The **Malawi** project has an opportunity under the watershed committee work and good relationships with national bodies to create an MSP.

Uganda project is developing MSPs at local level to implement policies.

The **Kenya** project provides a good example of developing MSPs with sustainability in mind and is further elaborated as a case study in this section of the toolkit.

DEEPENING RELATIONSHIPS

Sequencing relationships

What is it?

Sequencing relationships is a partnership leveraging approach that builds on your stakeholder map and relies on shuttle diplomacy, iterative conversations and dialogues to strengthen engagement.

Why we use it

Understanding the stakeholder that you need to engage with and getting them on board in order of priority and power requires multiple steps for relationship building.

Key steps

1. Using your stakeholder map, prioritize linkages between stakeholders that can be easily leveraged
2. Outline power players and strategic meetings along with where you need to get buy-ins or endorsement
3. Plan a set of engagements (e.g. personal introductions, phone calls, official meetings, or corridor conversations)
4. Analyze the feedback from each engagement which may alter your sequence.

Practical considerations

Approximate time needed:

Preparation: 15 minutes

Implementation: 30 minutes

Applicable location or level:

- ☑ village/field
- ☑ community/landscape
- ☑ subnational
- ☑ national
- ☑ outdoor setting
- ☑ indoor workshop
- ☑ virtual workshop

Additional notes: *Can be applied in a field/village level indoors or outdoors, at all levels in a workshop setting and with good internet capability can be applied virtually. This builds on the stakeholder map.*

Materials needed:

- ☑ flipchart or butcher paper
- ☑ marker pens of multiple colours
- ☑ sticky notes if available
- ☑ Miro/Mural/related software (for virtual workshops)

Types of stakeholders engaged/represented:

- ☑ villagers/pastoralists/farmers
- ☑ local/national governments
- ☑ research and development institutions
- ☑ private sector

Additional notes: *It is valuable where possible to have a mix of stakeholders, including men and women, for robust thinking.*

Number of stakeholders engaged/represented:

Specific working groups should be limited to 6-8 persons. Since it builds on the stakeholder map already done, the same people would be engaged in this activity.

Facilitation experience level needed:

☑ minimum ☑ moderate ☐ expert

DEEPENING RELATIONSHIPS

Multi-stakeholder platforms

What is it?

A multiple stakeholder platform (MSP) describes a space or activity that brings together a very diverse range of organizations and individuals to address a specific issue. Participants usually include representation from most of the following groups: national and/or local government; public sector; private sector; trade unions and/or workers' associations; academia; and civil society groups including NGOs, women's groups, consumer groups, environmental groups, and faith groups.

Why we use it

Roles and mandates of MSPs vary however the aim is to develop collaborative decision-making and multi-level governance processes that enable shared perspectives, new understanding, and collective commitment for solutions.

These purposefully organized interactive processes are often of a voluntary and collaborative nature. They aim to foster participation in dialogue and decision-making about shared challenges, policy and implementation actions and to unlock people's potential to cooperate and innovate to reach sustainable development goals.

MSPs can be a newly created or an existing partnership space that enables:

- holistic and creative problem-solving approaches
- informed joint goal-setting and offering more flexible and tailored solutions
- accelerating the development and implementation of actions
- acting as a catalyst for policy innovation

Practical considerations

Approximate time needed:
Designing and initiating a multi-stakeholder engagement process is likely to take 3-6 months while the implementation phase will depend on the objective and resources available. The aim is also to plan for the sustainability of the initiative after the project ends.

Types of stakeholders engaged/represented:
This will depend on the scale at which the platform operates (local, regional, national). It must thrive to ensure inclusive representation of the actors at stake, have a cross-sectoral approach, and include communities and interest groups, policy makers, decision makers, technical partners, donors.

Facilitation experience level needed:

☐ minimum ☐ moderate ☑ expert

Expert facilitators with experience in co-learning and conflict resolution.

Additional resources

Brouwer, J.H., Woodhill, A.J., Hemmati, M., Verhoosel, K.S. & van Vugt, S.M. 2015. *The MSP guide: How to design and facilitate multi-stakeholder partnerships.* Centre for Development Innovation. Wageningen UR http://www.mspguide.org/msp-guide

Coulby, H. 2009. *A Guide to Multistakeholder Work: Lessons from the Water Dialogues.* The Water Dialogues: multistakeholder dialogues on water and the private sector. http://www.mspguide.org/sites/default/files/resource/guide-to-multistakeholder.pdf

Learning for sustainability website provides information, ideas and guidance around different aspects of multi-stakeholder processes and further access to a range of guides that support multi-stakeholder processes (MSPs). https://learningforsustainability.net/behaviour-change-guides/

Key steps in designing MSP engagement

1 Defining the value of the MSP for the project

Because facilitating multi-stakeholder efforts takes time, energy and resources, it is important to define why this is an important part of the project strategy. This will largely depend on the interests at stake, the complexity of the problem and actors involved, and the knowledge and power relationship dynamics.

It is important to verify if there are existing platforms that could be integrated and reinforced instead of creating a new process. Reviewing the performances and sustainability of these existing platforms can also shed light on the relevance of the process envisaged.

2 Broadening interest in the MSP

Before creating a new MSP, it is it is essential to find out if there is sufficient interest and support from other stakeholders. Key questions in scoping for interest are:

- how stakeholders see the issue
- the key questions they want to see answered
- which stakeholders are most interested in the process; and which are most opposed to it?
- the type of process people think would be the most helpful
- which geographical areas are most enthusiastic about participating?

Suggested tools:
Stakeholder mapping tool, systems mapping and Influence and Power relationships (all described in section 4.1)

3 Designing and initiating the engagement process

To design the engagement process, it is important to evaluate and decide which will be the best-fit forum, as this could be varied, for example. This will be based on:

- Using an existing process or organization
- Multi-stakeholder panels
- National dialogues linked to an international process
- Roundtables or structured dialogues
- Deliberative forums
- International/national/local commission

The decision whether to hold your multi-stakeholder processes at local, national, regional or international level, or a combination of these options, should be based on:

- what you want to achieve
- where the key stakeholders are located
- who has decision-making powers over the issue
- where these people are located geographically (often in multiple locations)
- which places have expressed an interest in starting multi-stakeholder work

4 Managing MSPs: facilitation and governance

It is common to start gradually building the engagement process by first forming a temporary group to launch a first meeting of stakeholders. This will enable the identification of other relevant stakeholders and deepen understanding of the issues.

The next step will be forming a multi-stakeholder working group that consists of a balanced range of stakeholders and views as well as people with influence or power. Both the format and content of meetings as well as the work between meetings is important to structure the engagement, build trust and make progress towards achieving the practice or policy goals targeted by the platform.

Elements of trust building:

- focus on the benefits of dialogue and active listening
- maintain clear rules of engagement
- work on team building and positive dynamics that encourage equal relations
- choose appropriate decision-making methods

Coordination and governance structure:

As the project's size or complexity grows, more formal governance structures and operating procedures may be required in the interest of legitimacy, accountability and transparency, and to facilitate fundraising. This is to ensure that there is an entity responsible for the crucial strategic and operational decisions on the long-term goals of the process, how to reach them, to safeguard the principles, values and ground rules established by the process.

5 Sustainability and exit strategy

The sustainability of the initiative should be reviewed periodically in relation to goals and the associated timeframe. It will also depend on available human and financial resources, continued commitment from members, institutional structure and political will. Continuation of funding once there is a momentum is an essential part of the sustainability of the MSP process and one solution is for the group to start fundraising early in the process.

6 Reflective learning

- Create a learning culture and environment
- Define success criteria and indicators
- Develop and implement monitoring mechanisms
- Review progress and generate lessons to be used for improving the process

Key lessons for successful MSPs

Social capital: developing relationships and strategies

- ☑ Use visioning, root cause analysis and outcome mapping tools to prioritise issues
- ☑ Examine future scenarios, identify goals and agree on change strategies including actions and responsibilities
- ☑ Deepen understanding and trust
- Secure commitment to processes and goals by building consensus and political will

Collaborative development and implementation of actions

- ☑ Build capacities of key stakeholder to lead and deliver training and knowledge sharing including field visits and exchange visits
- ☑ Secure resources and support
- ☑ Co-design and implement detailed action plans
- Feedback evidence to influence national and subnational policy

Reflective and iterative learning cycles

- ☑ Implement with reflective learning cycles that feeds back into adaptative co-management along with monitoring progress against agreed criteria of success
- ☑ Create a learning culture and environment to generate lessons
- Co-create and communicate knowledge and ensure feedback mechanisms which may be multi directional across national, regional and local levels.

RFS COUNTRY PROJECT CASE STUDY

Ethiopia: Multi-stakeholder platforms at sub-national level

In each of the 12 districts (woredas) where the Integrated Landscape Management to Enhance Food Security and Ecosystem Resilience project in Ethiopia is working, there is a functional decision-making multi-stakeholder platform. These platforms, which meet quarterly, were established to guide the project, including determining which of the interventions to focus on and allocating the budget in line with the annual workplan for the district as well as monitoring implementation.

The platforms are made up of Woreda level representatives of all key sectors, including livestock, water management, SME development, etc., as well as project site representatives and other development partners as deemed appropriate by each platform. Woreda Administrators chair these platforms and also participate in the federal level MSP where they are joined by key sectoral ministries, thus providing a strong link between local and national.

In addition to the district platforms, there are technical committees and gender teams. The technical committees take responsibility for guiding the more technical elements of the project and put into practice at the grassroot level, the decisions made by the district MSP. Research institutes and universities are also linked to the project through the district platforms with support from the technical committees.

The decentralized leadership and implementation approach used by the project has been acknowledged as being very successful and enhancing project scaling. Local ownership has ensured sustainability of the work and the project approach is being scaled in many of the districts. The approach also reduces the management hierarchy and takes resources closer to the beneficiaries for their benefit.

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DEEPENING RELATIONSHIPS

Planning for sustainability

What is it?

For any initiative or work area, a clearly planned strategy of who could manage, implement, maintain and fund beyond the project timeline is needed.

Why we use it

To ensure returns on investments and a continued impact beyond the project lifetime and to enable successful interventions to be upscaled. A sustainability strategy mitigates risks of failure. It needs to be designed jointly from the onset and revisited regularly as the initiative evolves.

Greater attention to advocacy is part of the shift towards sustainability, along with participatory planning, investments in partner-driven capacity development support, and systematic learning, documentation and sharing of good practice.

Key reflections

- How will services continue to be provided? If they are discontinued would it have any detrimental impact?
- Will expertise and momentum for change be lost after the end of the project? How can we capitalize on this?
- What kind of investments and capacity are necessary to plan for sustainability?
- If a project ends, does the exit strategy plan for 'responsible entry' of others who are the relevant stakeholders that can step up into new levels of responsibility.

Principles

- Ensure the institutional home
- Identify a sustainable financial resource
- Clarify roles and responsibilities
- Establish a clear budget for costs associated – for example hosting
- Put a coordinating- governing structure in place to take over
- Ensure buy-in from relevant actors in leadership and decision-making

Preconditions to successful sustainability:

In addition to an ongoing source of resources, good technical and managerial capacity, and sustained motivation of participants and partners, linkages to governmental organizations and/or other entities are key to continuity and sustainability of outcomes and new impacts.

RFS COUNTRY PROJECT CASE STUDY

Kenya: Creating a sustainable multi-stakeholder platform through the Upper Tana Nairobi Water Fund Trust

The Upper Tana Nairobi Water Fund Trust has been created as an independent multi-stakeholder platform that will provide sustainable funding and support for integrated natural resource management and conservation efforts in the Upper Tana River catchment.

While strong institutions exist in Kenya, none of them has the explicit objective of conservation with a focus on the Upper Tana, it was for this reason the Fund was created to be independent. Another key challenge this Water Fund multi-stakeholder platform (MSP) addresses is the sustainability of resource mobilisation and to bring in private and public stakeholders to invest in the sustainable conservation of the catchment.

The fund combines grants, in-kind support and investment by private sector that benefit from improved water quality from the conservation efforts. It acts as an endowment fund with capital invested and interest used to fund activities in the catchment. In this way, the MSP can provide support for activities now and into the future while offering a platform to bring together public and private actors to negotiate and plan for the catchment. The Water Fund concept, developed by The Nature Conservancy, has gained significant attention with new Water Funds being established in South Africa and in Kenya.


©Upper Tana Nairobi Water Fund Trust

RFS COUNTRY PROJECT CASE STUDY

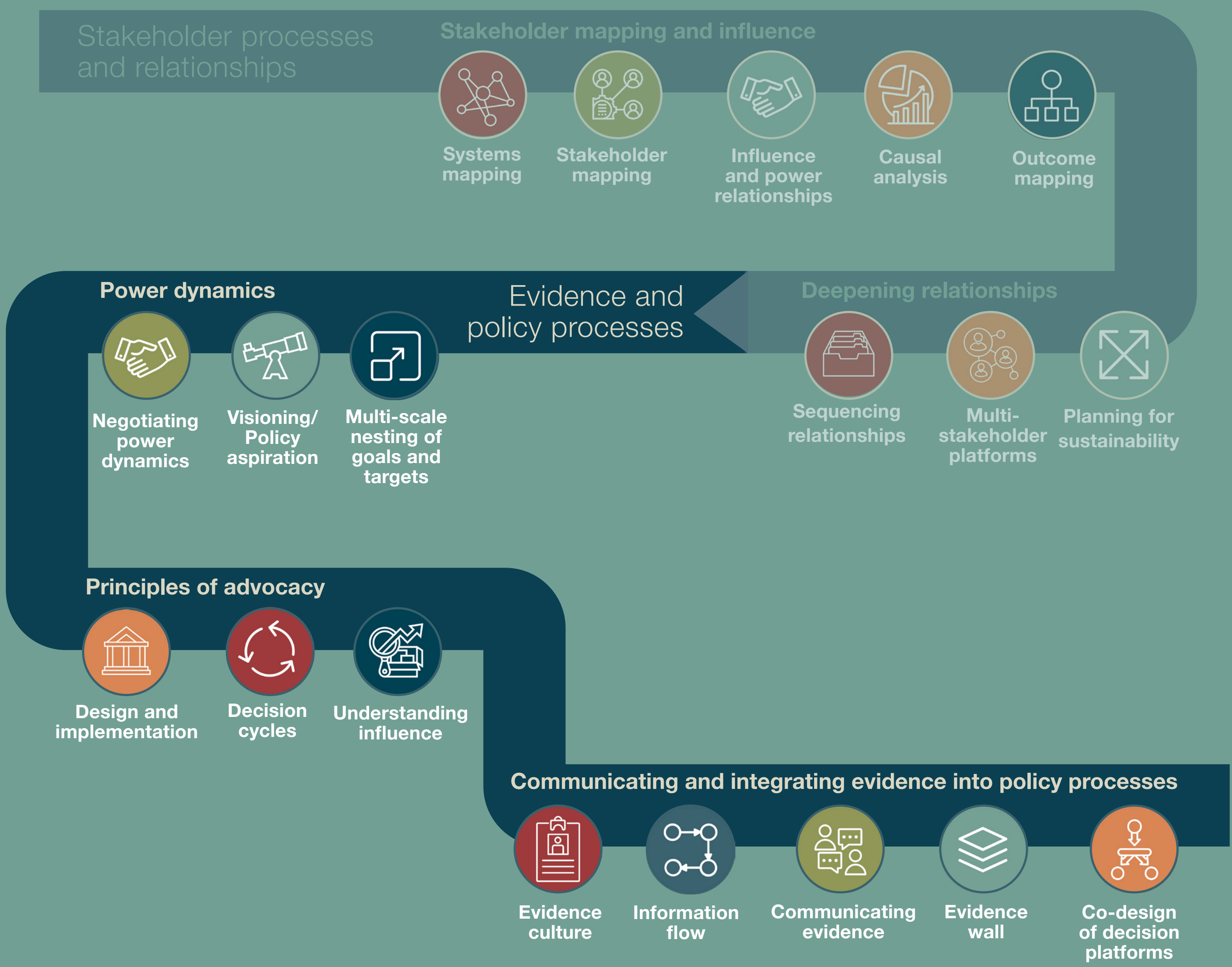
Senegal: Multi-stakeholder platform sustainability and exit strategy

In Senegal, the PARFA project (Projet d'appui à la résilience des filières agricoles) has successfully revitalised multi-stakeholder platforms operating at different scale. At national level, it is supporting the operationalisation of the National Framework for Strategic Investments to ensure sustainable land management and its financial instrument the National Fund for Agro-sylvo-pastoral Development. At regional level, the project is supporting existing Climate Change related platforms (Comités régionaux sur les Changements climatiques COMRECC) that were dormant due to lack of financial resources.

Sensitisation workshops and information sharing including intervention and project mapping have helped avoid duplication of efforts and harmonise interventions. At regional level, the advocacy work has translated into new community development plans that reflect sustainable land management and climate change adaptation priorities. Although participation and motivation are high amongst stakeholders, the main challenge for the project is to ensure the sustainability of the platforms in the long run. One of the key steps will be to build a vision and foster political will to ensure that necessary human and financial resources will be channelled for the continuation of the activities after the end of the program.

Methods, tools and approaches applied to RFS Country programs:

Evidence and policy processes



4.3 Power dynamics

This section of the toolkit includes insights, tools and approaches related to negotiating power dynamics, visioning and multi-scale nesting of goals and targets.

Aligning interests, building consensus on objectives and aspirations and negotiating power dynamics are key to ensuring functional stakeholder relationships and achieving desired outcomes during and beyond the life of the project.

Negotiating power dynamics
Being able to address dynamics among stakeholders to support functioning partnerships and work.

Visioning
Collaboratively outlining a compelling vision of a preferred future that can bring stakeholders together.

Multi-scale nesting of goals and targets
Linking processes, goals and targets across scales to enhance synergies and progress.

RFS Country insights

Burundi – using processes to harmonize competing visions and objectives

Tanzania – settling disputes in community-based management processes

Uganda – ensuring the inclusion of historically marginalized groups

Ethiopia – finding common objectives among members of multi-stakeholder platforms

Kenya – prioritizing implementation investments among diverse stakeholders

POWER DYNAMICS

Negotiating power dynamics

What is it?

Whenever diverse stakeholders come together, there will typically be dynamics that emerge among different members. These can be attributed to:

- hierarchies;
- competing objectives;
- different access to resource levels;
- gender, ethnicity and age; and of course,
- personalities and human behaviour.

Some of these dynamics can be addressed or reduced pre-emptively or in a disruptive moment but others require long term transformative change. Being able to negotiate power dynamics among stakeholders is critical to functioning stakeholder processes and achieving the desired outcomes.

Why we do it

- Negotiating power dynamics is always **context specific**.
- It is important to be able to operationalize **principles of negotiation** both pre-emptively as well as being able to act in the moment when power dynamics emerge.
- An influence map can help identify where power dynamics may come into play.

Key steps for negotiating power dynamics

Suggestions for negotiating power dynamics are described below including working to pre-empt power issues, addressing disruptions to a process, and investing in long term change, as is particularly important in relation to gender and ethnicity dimensions. It is important to have advanced to expert facilitation skills to negotiate power dynamics among stakeholders.

Early considerations to pre-empt power issues

Often power dynamics are anticipated going into a planning or policy processes and in those cases, the team can use shuttle diplomacy as a way to dialogue with powerful or potentially problematic actors individually to bring issues to light and ease their implications.

- Understanding at the outset who could (negatively) impact your process or outcome.
- Establish and endorse principles of engagement
- Anticipating power issues and who might be best placed to negotiate

Disruptions to an ongoing process

- Confirming protocol
- Commitment to process and engagement
- Bilateral conversions, shuttle diplomacy
- Drawing on third party with social capital and rapport
- Evidence and knowledge co-creation to enhance dialogue, consider and address inequalities

Long term and transformative change

Many of the inherent power issues require a long term and deep commitment to change that will be transformative. Examples of these include gender and ethnicity inequities that cannot be addressed through, for example, a sensitization workshop. Sequenced relationship events and evidence and knowledge co-creation can lend themselves to shifting the needle toward meaningful change. An example from Burkina Faso and Ghana is provided on the following page.

Practical considerations

Approximate time needed:
Gender transformative actions require time for successful engagement in communities between one and two years

Types of stakeholders engaged/represented:
n community dialogues ensure an inclusive representation of gender, age and ethnicity, or other social differences.

Number of stakeholders engaged/represented:
Hold meetings with about 20 to 25 people.

Facilitation experience level needed:
☐ minimum ☐ moderate ☑ expert

Expert facilitator in community development and gender, important to have a mixed team of facilitators who speak local languages.

©ICRAF/WAFFI project

Addressing power dynamics related to gender and equity in Burkina Faso and Ghana

The West Africa Forest and Farm Interface project focused on addressing transformation within gender relations. In this region, diminishing tree resources, land degradation and climate change have increased women's vulnerability disproportionately while restrictive socio-cultural norms provide limited opportunities to participate in or benefit from landscape restoration and agroforestry initiatives.

The project took a long-term approach. It started with collecting evidence through participatory household surveys and understanding the landscape to understand gender dynamics in terms of natural of resources, assets, decision making, labour. This information was analyzed and fed back to the community through structured dialogues. Seeing the results among men and women opened up the dialogue around how differences in, for example, assets and decision making, affect peoples' livelihoods. These research efforts were complemented by role plays and other experiential and visual methods to advance the conversation and understanding.

The work revealed that while we often see gender inequities as cultural and unable to change, bringing evidence can enable women's negotiating capacities in their communities.

The findings from the WAFFI project, including during these participatory activities, suggest that efforts aimed at land restoration and increased resilience in Sahelian countries will be more successful if they can take steps to change gender norms to increase women's participation in decision making and enhance the value of their roles in the landscape and in livelihood systems (Baxter, 2018).

Additional resources

Power Dynamics

Hiemstra, W., Brouwer, J.H. and van Vugt, S.M. 2012. *Power dynamics in multistakeholder processes: A balancing act.* PSO Capacity Building in Developing Countries, Wageningen UR Centre for Development Innovation. https://library.wur.nl/WebQuery/wurpubs/fulltext/242967

Susskind, L., McKearnan, S. & Thomas-Larmer, J. 1999. *The consensus building handbook: A comprehensive guide to reaching agreement.* Thousand Oaks, California, Sage Publications.

FAO. 2005. *An approach to rural development: Participatory and negotiated territorial development (PNTD)* Rural Development Division Food and Agriculture Organization of the United Nations. http://www.fao.org/3/a-ak228e.pdf

FAO. 2020. *Collaborative Conflict Management module in Sustainable Forest Management (SFM)* Toolboxonline FAO. http://www.fao.org/sustainable-forest-management/toolbox/modules/collaborative-conflict-management/basic-knowledge/en/

WAFFI Project on Gender Norms and Land Restoration

Baxter, J. 2018. *Challenging Gender Norms around Trees and Land Restoration in West Africa: Can research be Transformative?* online Nairobi World Agroforestry. http://blog.worldagroforestry.org/index.php/2018/12/21/challenging-gender-norms-around-trees-and-land-restoration-in-west-africa-can-research-be-transformative/

POWER DYNAMICS

Visions and policy aspirations

A collective vision developed among stakeholders is key to fostering relationships among diverse actors by bringing to light what individuals aspire to as well as diminishing competing objectives. Adaptive collaborative management studies show that creating and communicating a shared vision is an important prerequisite to a shift in collective understanding and values and lead to institutional change, particularly associated with governance of natural resources. The SHARED visioning approach provided in this section is adapted from the approach developed in Holistic Management for which mechanisms for support and sustainability of aspirations are an integral part of the vision.

What is it?

Visioning is a method for collaboratively outlining a compelling vision of a preferred future.

Why we use it

Visioning a desirable future is the first step in creating a powerful strategy and provides the basis for developing interventions, services, policies and partnerships that will be required to achieve that future.

Additional resources

Critical importance of a collective vision for organizational change

Argyris, C. 2002. Double loop learning, teaching and research. *Academy of Management Learning and Education* Vol. 1. No. 2 206-2018

Plummer, R., Armitage, D. R., de Loë, R. C. 2013. Adaptive co-management and its relationship to environmental governance. *Ecology and Society* 18(1): 21. http://dx.doi.org/10.5751/ES-05383-180121

Prabhu, R., McDougall C, Fisher, R. 2007. Adaptive collaborative management: A conceptual model in Fisher, R. Prabhu, R. McDougall, C. eds. *Adaptive collaborative management of community forests in Asia.* Bogor Centre for International Forestry Research (CIFOR).

Setting a context and vision

Savory, A., Butterfield, J. 2016. *Holistic Management: A common sense revolution to restore our environment.* Washington, DC. Island Press.

Brouwer, J.H., Woodhill, A.J., Hemmati, M., Verhoosel, K.S. & van Vugt, S.M. 2015. *The MSP guide: How to design and facilitate multi-stakeholder partnerships.* Centre for Development Innovation. Wageningen UR http://www.mspguide.org/msp-guide

Key steps for negotiating power dynamics

1 **Define the system/theme and set a clear timeline for the vision.** The key steps for developing a compelling vision start with a clear definition of the system for which the system is being developed along with clear timeline for when the vision is to be achieved.

2 **Define relevant dimensions of the vision.** To address sustainability, it is helpful to identify relevant dimensions for the visions. These are related to sustainable development dimensions (e.g. economic, social, environmental, institutional). This is a useful step to ensure that all of the dimensions are considered.

3 **Draft descriptors of the desired outcome(s) within each dimension.** The stakeholders will want to articulate the desired outcome(s) they wish to see within each dimension.

4 **Describe supporting and sustaining elements for the desired outcome.** This step has two parts. For each of the desired outcomes and aspirations that are defined, it is important to think of the what would have to be in place to support the achievement of the outcome. Once these supporting elements are in place, it is valuable to look across the desired outcomes and supporting elements and identify what would have to be in place to sustain all of it. These sustaining factors often are used to describe deeper underpinning elements such as governance, leadership, social equity, a thriving economy and functioning ecosystem.

5 **Articulate a descriptive vision.** Steps 1-4 will provide all of the detailed elements of the vision which are very important for internal planning and implementations. If the stakeholders want a vision that they can share with a wider audience, a descriptive vision can be developed.

Building an example

1 Define the system and timeline

In this example, a district agri-food system with a view to 2030 is being considered.

System: **District level agri-food system**

Timeline: **2030**

2 Define the dimensions of the vision

For the district agri-food system, the defined dimensions are economic, social-cultural, agricultural productivity, environment and institutional.

Economic | Social-cultural | Agricultural productivity | Environment | Institutional

3 Draft descriptors of the desired outcome(s) within each dimension

In this step, we describe the desired outcomes associated with each dimension. For each of these dimensions, there will multiple desired outcomes.

Economic
Green produce value chains that contribute to employment

Social-cultural
All community members have increased capacity to absorb shocks

Agricultural productivity
Diversified farming systems will provide rural food and nutrition security

Environment
Agriculture and environment are managed as interlinked and for enhanced resilience

Institutional
Multi-stakeholder platforms and evidence play a critical role in planning and decision-making

4 Describe supporting and sustaining elements for the desired outcome

The first part of this step is dedicated to describing what would have to be in place to support the achievement of the desired outcome while the second part considers what would have to be in place to sustain these aspirations and supporting mechanisms long into the future.

Economic
Green produce value chains that contribute to employment

Social-cultural
All community members have increased capacity to absorb shocks

Agricultural productivity
Diversified farming systems will provide rural food and nutrition security

Environment
Agriculture and environment are managed as interlinked and for enhanced resilience

Institutional
Multi-stakeholder platforms and evidence play a critical role in planning and decision-making

- Mechanisms for private sector to invest in value chains and entrepreneurship
- Green jobs and entrepreneurship of youth
- Mechanisms to enhance farmers' organizations' capacities agroecologica and nutrition-smart practices
- Mechanisms to incentivize and coordinate multi-stakeholder and multi-sectoral efforts

- Thriving local, resilient livelihoods
- Society respects and values the equity, education and prosperity of all of its members
- Resilient ecosystem, functioning water cycles, high biodiversity, healthy land
- Responsive, effective and trusted government

5 Develop a descriptive vision

Once the detailed vision has been put together, a descriptive vision can be developed to share with wider audiences.

GUIDING VISION

We the people in this district aspire to integrate resilience throughout the agri-food system where the government, civil society and private sector are aligned, committed and coordinated, and opportunites are created for:

A. Investments in decent, green employment and climate-friendly value chains;

B. Farming and pastoral systems are diversified to increase productivity and enhance ecosystem functions;

C. All members of society are respected and supported; and

D. Multiple sectors and stakeholders are engaged in evidence-based planning and decision making and implementation. All of this is underpinned by a leadership with integrity, a long-term view and sustainable and resilient natural resources.

Considering the policy aspirations of the vision

With a focus on policy aspirations, the vision can be reviewed to tease out policy aspirations. Examples of policy aspirations from the above example are shown below:

- Multi-stakeholder platforms are engaged in district level decision making and the implementation of district policies
- District level decision making is based upon diverse knowledge sources

Practical considerations

Approximate time needed:
Preparation: 30 minutes
Implementation: 1 hour

Applicable location or level:
- [x] village/field
- [x] community/landscape
- [x] subnational
- [x] national
- [x] outdoor setting
- [x] indoor workshop
- [x] virtual workshop

Additional notes: *Can be applied in a field/village level indoors or outdoors, at all levels in a workshop setting and with good internet capability can be applied virtually if needed.*

Materials needed:
- [x] flipchart or butcher paper
- [x] marker pens of multiple colours
- [x] sticky notes if available
- [x] Miro/Mural/related software (for virtual workshops)

Types of stakeholders engaged/represented:
It is valuable to have working groups with a diverse set of stakeholders within the community or across institutions, also including women and men. If working in large groups, ask each group to take one of the identified dimensions (following Step 2) and then bring groups back together to bridge dimensions, outcomes, supporting and sustaining elements.

Number of stakeholders engaged/represented:
Specific working groups should be limited to 8 persons.

Facilitation experience level needed:
- [ ] minimum
- [x] moderate
- [x] expert

POWER DYNAMICS

Multi-scale nesting of goals and targets

The urgency of addressing development challenges has led to global, regional, national goals and targets being identified and in some cases with different time frames. The global goals and targets are elaborated in the Sustainable Development Goals (SDGs, 2030) and multi-lateral environmental agreements such as the Convention to Combat Desertification, the Convention on Biological Diversity and the Framework Convention on Climate Change. The Africa Union has set out development aspirations for the continent with a view to 2063 while the Regional Economic Commissions have their own targets and goals. Many countries have also devised targets and goals for their own development as well as to contribute to regional and global goals.

From experience, nesting targets from subnational to global has proven to bring different, often powerful actors, on board to see the value of promoting and valuing different processes and actions as contributing to higher level goals and achieving recognition for this contribution. It also serves to motivate actors to achieve resilient food systems goals that will ultimately bring both local and national, regional or global recognition.

What is it?

The linking of priorities, targets and goals across scales (local, national, regional or continental and global).

Why we use it

Nesting the goals and targets at different scales provides a mechanism to highlight contributions to development priorities at multiple levels.

This approach can help different individuals and institutions see their own contribution to higher level goals. In some cases, it can help powerful actors justify investments or personal commitments to agreed priorities. Another advantage is to be able to visualise cross-sectoral relationships among the goals and targets.

Above. Example of nesting goals and targets using the SHARED Process

RFS COUNTRY PROJECT CASE STUDY

Uganda: Catalysing cross sectoral and multi-scale collaboration for Sustainable Land Management and Food Security

In Uganda, the project on Fostering Sustainability and Resilience for Food Security in Karamoja sub-region implemented by Ministry of agriculture, Animal Industry and Fisheries, supported by FAO and UNDP focuses on improving food security and the long-term environmental sustainability and resilience of food production systems in the Karamoja sub-region. In Uganda, government sectors work through a cross-sectoral platform to support more effective programming related to sustainable land management (SLM). SLM requires collaboration of multiple sectors to address the range of issues (climate change, environmental degradation, chronic food insecurity, poverty, access to land and renewable energy, limited capital and markets) and their root causes and achieve long term resilience and food security.

Bringing together key government line ministries, departments and agencies (MDAs), local governments, academic institutions, civil society organizations (CSOs) and. The MDAs include ministry of agriculture animal industry and fisheries, ministry of Water and Environment, ministry of Trade Industry and Cooperatives, ministry of Energy and Mineral Development, the Ministry for Karamoja Affairs under Office of the Prime minister the National Environmental Management Authority, the National Agricultural Research Organization, and the National Meteorological Authority. Academic institutions include as Busitema University at national level. Local governments and civil society organization (e.g. community-based organizations, Non-governmental Organizations) are key players at community level in the six participating districts.

The project has contributed to national and district level cross-sectoral and multi-stakeholder collaboration while integrating that benefit with building capacity within the district levels to support integrated sub-regional planning and development of land use plans for the project area through the multi-stakeholder platforms. The resource user communities organized into watershed associations and farmer groups, implement the land use plans at micro-watershed level through community/group action plans using Farmer Field School (FFS) approach. This effort has ensured that planned interventions are aligned with what the government sectors wants to achieve in a more holistic way, brings specific support for problem solving and builds ownership at district level while feeding learning, issues and opportunities back to influence and enhance national government linkages and synergies. The project has facilitated cross-sectoral and multi-scale integration, ensuring decision making bodies are linked between national and local levels, to accelerate the achievement of project goals that may be scaled regionally and across the country.

4.4 Principles of advocacy

Advocacy is defined in different ways by different organizations and agencies and includes a range of activities such as organizing, lobbying and campaigning for change. It can be described as a deliberate process used to change policies and practices, reform institutions, alter power relations, change attitudes and behaviours and secure broader project impact.

Advocacy can be directed at policy makers, but also private sector leaders as well as those whose opinions and actions influence policy makers (e.g. media, development agencies, NGOs). Because it involves intentional actions, it is essential to be clear about who the advocacy process is trying to influence and which policy it is attempting to change.

We do this to ensure efforts are sustainable and options that are working well can be scaled and built upon. Advocacy can be used for a broad range of issues from addressing inequity issues, to challenging attitudes, power and social relations, or exposing a problem and finding solutions to be addressed by policy makers, service providers and managers.

In this section of the toolkit we outline the design and implementation of an advocacy process as well as decision cycles and how to understand influence.

Design and implementation
To outline the steps in the design and implementation phases of a successful advocacy process.

Decision cycle
To outline actors, decision points and flows of information in decision making and visualize key entry points for influencing change.

Understanding influence
Analysing the stakeholders that one is intending to influence in an advocacy process.

RFS Country insights

Burkina Faso – adoption of concrete environmental policies, and long-term support for tenure reforms

Ethiopia – policy engagement at federal level

Tanzania – land planning structures and how to engage women in groups

Nigeria - how to convince stakeholders, particularly government officials, both who are appointed at political leaders such as commissioners and governors and those who work as civil servants in government

Malawi – role of catchment management committees


©UNDP/Integrated Landscape Management to Enhance Food Security and Ecosystem Resilience in Nigeria project

Above. Participants discussing during the policy review summit in Abuja 27th February 2020

RFS COUNTRY PROJECT CASE STUDY

Nigeria: Inclusive policy review and harmonization process

The Integrated Landscape Management to Enhance Food Security and Ecosystem Resilience in Nigeria project has supported an inclusive process to review agricultural policies and support a Nigeria Agriculture Promotion Policy (the Green Alternative) to promote sustainable and resilient food and nutrition security.

The process initiated with a review and analysis of agriculture and environment policies related to food security to identify opportunities for harmonization. One on one consultations with principle officers from key government agencies were undertaken to map the policy situation. A stakeholder consultative summit was held with representatives from the different geo-political zones and including experts from civil society organizations, government at State and National levels, producers, processors, marketers and community leaders and media. Participants provided input on the policy review and identified gaps, opportunities to harmonize and made recommendations on how to overcome challenges. It is expected that the policy will be approved and adopted by the government as the process has been inclusive and engaged many stakeholders from the start.

The first impact pathway is to support the government to implement the new policy framework for promoting agricultural development and food security. This will be done by engaging the various stakeholders to facilitate multi-stakeholder dialogue on how to take the proposed plans and initiatives forward, and to support the national Ministry of Agriculture and Rural Development to deliver as well as to empower stakeholder groups, through creation of gender sensitive and inclusive multi-stakeholder advocacy platforms, to seek delivery of agricultural services from the various service providers. Also, the project will support the ministry to continue to roll out implementation of this policy to State level institutions and promote uptake and investments.

The project's state level interventions will ensure strong linkages between the project activities and the policy outcomes as outlined in the policy document. State level decision making structures are key for effecting changes at state and local government levels. Considering this, the bulk of the support for implementation of the Policy will be at state and local government levels. The project will also provide significant support to the establishment and/or operationalization of multi-stakeholder platforms or organs to promote dialogue around sustainable agriculture and inclusive food value chains. Similarly, the project will support bottom-up dialogue to ensure that local and state level action influences and informs national level policymaking and action by promoting dialogue between the planning structures and those in the agricultural sector to ensure that policy decision are responsive to the sector's needs. Regular advocacy will also ensure that the imperative for food security is given highest priority in government and also presents opportunities for integrating food security issues in wider development planning at state and national levels.

PRINCIPLES OF ADVOCACY

Design and implementation

A successful advocacy process is based largely on strategic thinking, planning and communication and as such can be usefully broken down into two key phases: 1) design and 2) implementation phase. We describe the process through ten steps but note that these are interlinked and some of the suggested tools support various steps of the process.

Monitoring, Evaluation and Learning are important parts of the advocacy process and should not be considered as a separate step but rather as continuous process, allowing for iterations between the different steps in both design and implementation. It is especially important to focus on tracking outputs, activities and inputs. For advocacy, outputs might often be changes in the knowledge, awareness or opinion of target audiences on a given policy issue but can be an actual policy or legislative change (creation, reform, revision, enactment).

Design phase steps

1 Identify the underlying issues, risks, and policy dynamics

A successful advocacy process starts by building a detailed understanding of the policy context at play and by defining the problem, the envisaged change and its justification for the change. This requires analysing the policy actors and decision makers, their institutions and the start thinking about the evidence they are likely to call upon in policy formulation, implementation and evaluation. This will help identify opportunities which can be taken advantage of to influence policy and identify potential risks along with how to prevent or mitigate them.

Suggested tools:
In addition to Policy analysis (Box XX), causal analysis and system mapping (see section 4.1) are two powerful tools recommended at this stage to identify root causes of often interconnected problems, allowing them to be broken down into manageable and definable chunks. This in turn enable a prioritisation with a clear focus on the solutions and objectives as well as a first step at identifying win-win solutions across multiple stakeholders and sectors.

Policy analysis:

Understanding the policy environment includes assessing policymaking structures and processes, relevant legal/policy framework as well as opportunities and timing for input into formal processes. In addition, it is important to consider

i. the macro-political context (democracy, governance, media freedom; academic freedom)

ii. the practical context in which policy is implementation (bureaucracies, incentives, street level, room for manoeuvre, participatory approaches);

iii. the decisive schedule in the policy process that could offer opportune moments for the introduction of change (processes, votes, policy windows and crises);

Key components of policy analysis:

- Identify alternatives to current policy
- Evaluate the likely effect of these alternatives (political, socio-economic, ecological, ethical)
- Analyze the costs and benefits of those effects
- Assess feasibility and sustainability of each alternative

2 Define the advocacy goals

Once the policy issue is identified, it is important to set the advocacy goals or aspirations, based in the overall change being sought. For example, in order to realise the desired change outlined in the vision, the policy aspiration considers what changes in legislation, policy, programme, regulation or funding will be required. Advocacy goals should clearly and specifically state what policy change is targeted, who will make that change, by how much, and when.

Explore the reasons for wanting to make the change (e.g. why should things change and what evidence is available to support this), how to make sure the evidence is credible and legitimate and what the target audience may wish to hear or about which they care. The goals can be broken down into short-term and long-term goals. Tackling a small number of strong, focused issues will have much greater impact in the short and long term.

Critical reflections when defining a goal

- What is the likelihood of success?
- Is it achievable in the defined time frame?
- What are the cost and level of efforts?
- What is the added value for the project?
- What is the level of interest of policy makers?
- What are the bottlenecks and obstacles to change?

Suggested tools:
Visioning (see section 4.3) can help draw the vision of a desirable future and describe the supporting and sustaining elements for the desired outcome and as such can provide the basis for defining the advocacy goals to assist in achieving that future.

3 Understand who can make a change and entry point

The next step is to provide clarity on which stakeholders to target and their interest or disinterest in the policy proposals as well as to consider and coordinate the timing of advocacy activities. This involves identification of the institutions and individuals who have influence and power to make change on the issue(s) identified. Usually the audience is multi-layered, and includes policy makers, media, key constituencies, provincial and territorial governments, government ministries, and the general public. For each of the target audiences, a different strategy or approach may need to be used.

Critical reflections when defining a goal

- Who needs to make these changes?
- Who has the power?
- How are decisions taken and what are the entry points?

Suggested tools:
Stakeholder mapping (section 4.1), power dynamics mapping (section 4.3), decision cycle (later in this section)

4 Mapping existing advocacy efforts

Once the stakeholders are identified and the power relationships mapped, it is important to then look at understanding the current influence of stakeholders at different scale as well as their stance on the issue and who influences them.

This step is also about understanding the learning styles of policymakers, the kind of information they may need, including the level of details, source, preference of information formats and criteria for decision making.

Suggested tool:
Understanding influence (later in this section)

5 Gather key evidence

Having a detailed understanding of the issues and evidence to back it up is key to build a strong advocacy case. This involves gathering evidence to strengthen your message, expanding support, and monitor and evaluate progress.

Evidence can be in multiple forms such as quantitative and qualitative data, desktop research, maps, success stories, demonstration plots, photos). Once it has been generated, there is need to analyze the findings, and package them through the appropriate messaging based on audience profile. Dissemination of findings is key to enhancing the understanding of policy makers and the public on a certain issue. Dissemination is important in influencing change.

Implementation phase steps

6 Consult and build strategic relationships

To increase the impact of the advocacy strategy it is important to work with other groups or stakeholders that are allies in the cause or can have an influence on it. Internal champions in decision making process can also be powerful support as such an 'inside ally' can, for example, feed information, make public statements validating the advocacy goal or negotiate for specific policy, programmatic, or operational changes.

Working through existing multi-stakeholder platforms working on the relevant issues, professional associations and other civil society entities are also important spaces to consider building partnerships and creating synergies among existing efforts. Successful policy advocacy campaigns often result from a group of organizations working together toward a common goal.

7 Build capacities and secure resources

Identification of capacity and needs (resources, staff, time, partners and funding) for implementing the advocacy strategy (e.g. SWOT analysis). This is important in determining if the project is able to carry out the advocacy campaign and to identify possible donors and/or funding opportunities to finance the project.

A good way to identify both existing resources and potential gaps in capacity is to map out all existing resources, relationships, power and influence; and then analyze what can be used from the list to help achieve the advocacy objective, and what additional resources may be needed to ensure the initiative is a success. A clear communication strategy also needs to be outlined and costed.

8 Identify outcomes and activities

Outcome mapping helps an advocacy project be specific about the actors it targets, the changes it expects to see, and the strategies it employs. Outcomes are the tangible changes that result from a set of activities and contribute to the achievement of an objective. They may be changes in the behaviour of people, organizations or other partners.

An indicator is a piece of evidence against which progress can be measured. This enables a realistic plan to emerge and to revise indicators and progress if needed.

Suggested tool:
Outcome mapping (section 4.1)

9 Communicate evidence tailored to target audience

Effective messaging takes into account different audiences, purposes and consequently the format and style of communication required. Messaging can be delivered in various forms such as radio messages, evidence walls (section 4.5) during a workshop, one-on-one consultation, policy briefs or through direct exposure.

The message must relate to the defining arguments and sources of evidence and meet the information needs and presentation style of targeted policymakers. In addition, it is important to define how to communicate a message and evidence including how to target and access information, who is a trusted and credible messenger, what is the most appropriate language, content, packaging and timing.

Important considerations in message statements:

- Why should things change (or what is the rationale and evidence to support your case?)
- How can you make sure that the evidence is credible and legitimate?
- What can the target audience hear (frameworks of thought)?

10 Implement action plan with chosen advocacy tactics

In advocacy, tactics are types of activities that support the overall strategy and outcomes. Advocacy strategies usually have to be adapted over time, so while it is important to have a sense of the range of activities to be undertaken, it's also important to keep a flexible activity schedule.

There are different avenues and spaces for policy advocacy that include:

- Lobbying decision-makers
- High-level exposure visits to project sites
- Campaigning
- Building capacity and empowering others to take action
- Gathering spaces
- Policy dialogue
- Media
- Social media
- Linking policy makers to research
- Advisory groups and think tanks

Additional resources

CARE International. 2014. The CARE international advocacy handbook. Geneva. CARE International. https://www.care-international.org/files/files/Care%20International%20Advocacy%20Handbook.pdf

Africa Platform for Social Protection. 2017. Advocacy Tool Kit: 'Be The Change You Want to See'. Commonwealth foundation. https://commonwealthfoundation.com/wp-content/uploads/dlm_uploads/2018/10/APSP-advocacy-toolkit-2018.pdf

Roebeling, G. & de Vries, J. 2011. Advocacy and Policy Influencing for Social Change – Sarajevo. Technical Assistance for Civil Society Organizations. https://resource.actionsee.org/app/uploads/2018/05/doc_manual_5.pdf

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Practical considerations

Approximate time needed:
Designing an advocacy process is likely to take at least 3-6 months while implementation extends over at least a year, usually requiring continuous efforts throughout a project lifespan

Types of stakeholders engaged/ represented:
A mix of stakeholders will be engaged at different stages of the process including representatives of key interest groups, other lobbying platforms, policy advisors, policy makers and decision-makers.

Facilitation experience level needed:
☐ minimum ☐ moderate ☑ expert

Expert facilitators with experience in advocacy, strategic planning and communication

RFS COUNTRY PROJECT CASE STUDY

Burkina Faso: Advocacy in the Neer-Tamba project

Advocacy is a key component of the stakeholder engagement work of the Neer-Tamba project in Burkina Faso. One focus of policy influence work in the program relates to the important yet sensitive topic of rural land tenure. Through a close partnership with the General Directorate for Land Tenure, Training and Organization of Rural Populations, the project works to bolster rural land use planning and improve land tenure security, facilitating consultation meetings with communes and local authorities for Service of Rural Lands (SFRs) to sensitise on existing legislation and its application and on the implementation of appropriate decrees. To influence change, the program uses training and exchange visits to share experience between rural land services in different communes. The project has managed to clarify rules on tenure management with appropriate and adaptive legal texts and to by-pass some critical legal bottlenecks through good social rapport and trust-building that enabled an ad-hoc Commission system to be put in place until the legislation becomes fully operational. The Neer-Tamba project has also trained members of the Regional Agricultural Chambers (CRA) in advocacy techniques so they can in turn influence relevant communal decision-makers and actors in improving land registration files and the inclusion of Sustainable Land Management in local development plans in communes. At regional level the consultative platforms have created opportunities for information sharing and sensitisation of a broad range of relevant stakeholders.

PRINCIPLES OF ADVOCACY

Decision cycles

Mapping existing decision cycles serve as an important way to clarify the different steps in decision making that are relevant to the policy process. These can be around annual planning and budgeting and also can show linkages of decision making processes across different scales. When there is a clear understanding of the relevant decision making process, then entry points for engagement and consultative processes and evidence can be found, those elements that can advocate for change in practice, policy and investments.

What is it?

Decision making is the process for selecting a course of action from a number of alternatives. Mapping the decision cycle is a method to understand and represent how decisions are being made. The diagram format allows you to easily outline actors, decision points and flows of information. The cycle helps visualizes the key entry points for influencing change at the policy level of interest.

Examples include an annual work planning cycle or budget process.

Why we use it

Mapping the decision cycles is used to understand influence points for bringing evidence, stakeholder input or wider engagement, project M&E outputs and lessons to influence a wider set of actors, strategies and policies depending on the context.

The decision cycle can be mapped at the scale at which the project is working as well as how it is connected to other levels.

Practical considerations

Approximate time needed:

Preparation: 15 minutes

Implementation: 45 minutes

Applicable location or level:

- [ ] village/field
- [ ] community/landscape
- [x] subnational
- [x] national
- [ ] outdoor setting
- [x] indoor workshop
- [ ] virtual workshop

Materials needed:

- [x] flipchart or butcher paper
- [x] marker pens of multiple colours
- [x] sticky notes if available
- [ ] Miro/Mural/related software (for virtual workshops)

Types of stakeholders engaged/represented:

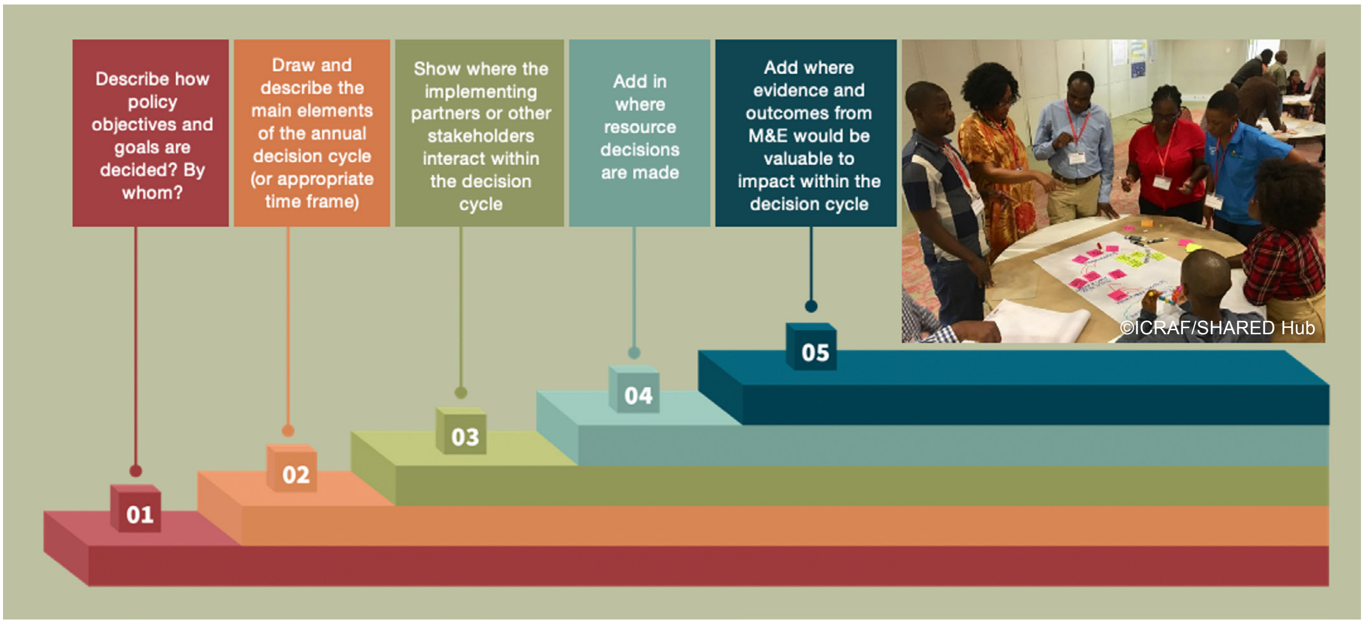
- [ ] villagers/pastoralists/farmers
- [x] local/national governments
- [x] research and development institutions
- [x] private sector and non-governmental organizations

Number of stakeholders engaged/represented:
Working groups of 8 or less with each group made of one sector (government, etc.)

Facilitation experience level needed:

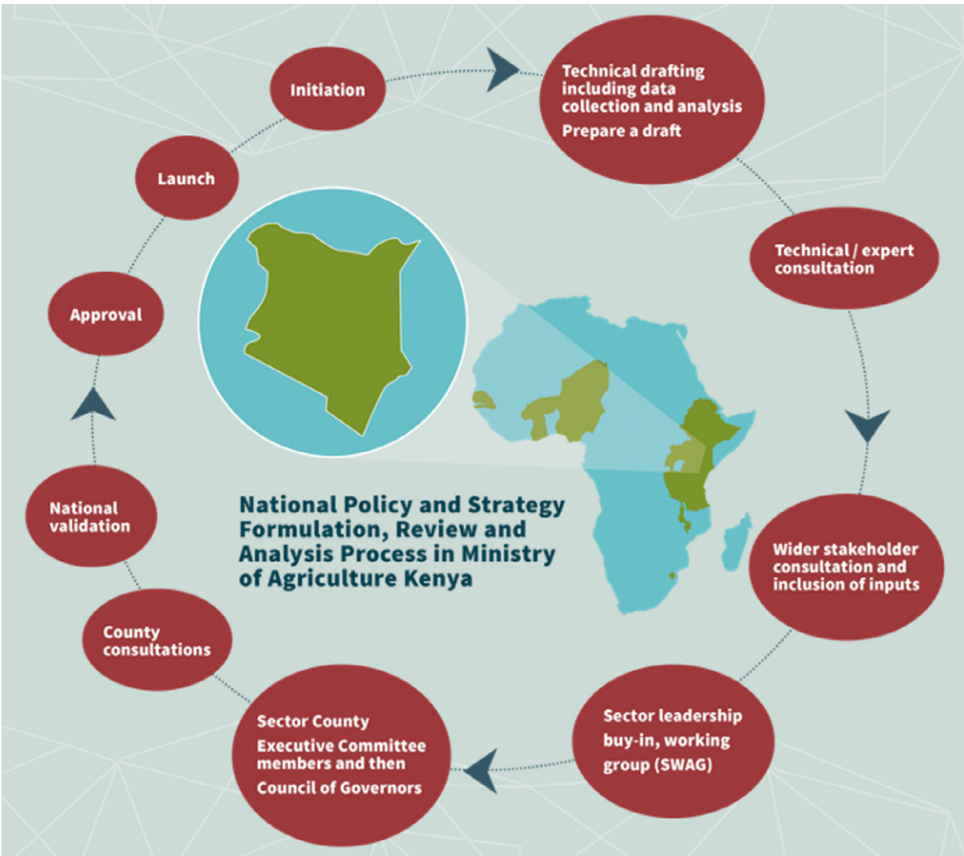
- [ ] minimum
- [x] moderate
- [ ] expert

Key steps



Application

A decision cycle example comes from Kenya where the Ministry of Agriculture has a defined process for policy and strategy formulation, review and analysis (as outlined in the figure). By reviewing this process or decision cycle it is possible to identify the technical drafting step and the stakeholder consultations as key areas where evidence can be included and where policy advocacy can take place.



PRINCIPLES OF ADVOCACY

Understanding influence

When analysing the stakeholders to influence in an advocacy process or in any change we intend to promote, we are essentially looking at who needs to make the intended changes.

Critical questions to be considered are:

- Who has the power to make change happen?
- What stances on the issue are being held by those who have the power to make change?
- What are the attitudes and behaviour of those who have the power to make change happen?
- Who influences of those who have the power to support or block the advocacy action?

Key steps

1 Map the current influence

The following matrix can be used to first map the current influence of the project. It is useful to break these down according to the major stakeholder groups identified during the stakeholder analysis and power dynamics mapping. The table helps represent systematically, at different scales, the types of actors influenced on different topics, by whom and through which means.

Stakeholder Group Influenced	What Influence?	Scale of Influence?	By Whom?	How? Tools, Processes and Evidence
Men and Women Farmers	Agroforestry and Land Restoration Practices	Far and Landscape	Farmer Leaders, NGOs, Extentionists	Training manuals, farmer training, posters radio
National Ministeries (MOA/MOE)	Value of Land Restoration	National	Scientists, NGOs, Technical Officers	Evidence-based policy briefs, participatory policy analysis
NGOs/CBOs	Priority areas for scaling land restoration	National, district, community	Technical advisors, extension officers, research, government statistics	Land use and land health maps, household economic data, restoration practice uptake
Local Government	Value of land restoration	District/County level	NGOs, Researchers	Awareness raising meetings, benefits evidence
Researchers	Practical Application	National	NGOs and Farmer Groups, Extensionists	Participatory research in development

Practical considerations

Approximate time needed:

Preparation: 15 minutes

Implementation: 40 minutes

Applicable location or level:

- [ ] village/field
- [x] community/landscape
- [x] subnational
- [x] national
- [ ] outdoor setting
- [x] indoor workshop
- [ ] virtual workshop

Materials needed:

- [x] flipchart or butcher paper
- [x] marker pens of multiple colours
- [x] sticky notes if available
- [ ] Miro/Mural/related software (for virtual workshops)

Types of stakeholders engaged/represented:

- [ ] villagers/pastoralists/farmers
- [x] local/national governments
- [x] research and development institutions
- [x] private sector

Additional notes: *Stakeholders representing government, private sector, non-governmental organization and other institutions or project teams within or across scales*

Number of stakeholders engaged/represented:
Stakeholders working in diverse groups of 8 or less.

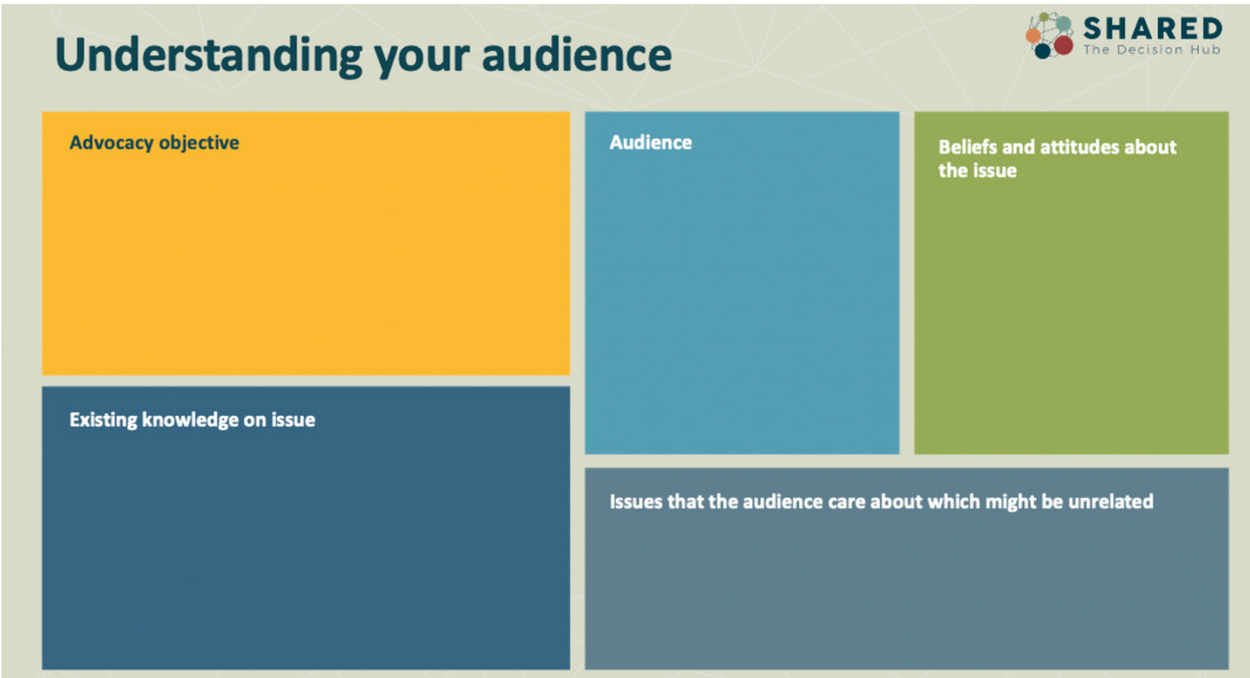
Facilitation experience level needed:

- [x] minimum
- [x] moderate
- [ ] expert

2 Defining and understanding your audience

The next step is to define the target audience. It is useful to group those in two categories: the **primary target** (the person with the most power to directly address the identified problem) and the **secondary target** (a person who cannot solve the problem directly but can influence the primary target).

For each advocacy objective, review and fill in the matrix below with the target audience, the beliefs and attitudes about the issue and the knowledge they may have. Understanding issues that could be unrelated but that the audience cares about can also create entry point for dialogue.



Practical considerations

Approximate time needed:

Preparation: 15 minutes

Implementation: 40 minutes

Applicable location or level:

- [ ] village/field
- [x] community/landscape
- [x] subnational
- [x] national
- [ ] outdoor setting
- [x] indoor workshop
- [ ] virtual workshop

Materials needed:

- [x] printed template or flipchart or butcher paper
- [x] marker pens of multiple colours
- [x] sticky notes if available
- [ ] Miro/Mural/related software (for virtual workshops)

Types of stakeholders engaged/represented:

- [ ] villagers/pastoralists/farmers
- [x] local/national governments
- [x] research and development institutions
- [x] private sector

Additional notes: *Stakeholders representing government, private sector, non-governmental organization and other institutions or project teams within or across scales*

Number of stakeholders engaged/represented:
Stakeholders working in diverse groups of 8 or less.

Facilitation experience level needed:

- [x] minimum
- [x] moderate
- [ ] expert

Local communities doing resource mapping on the ground and through satellite images

RFS COUNTRY PROJECT CASE STUDY

Tanzania: Policy implementation through participatory land use planning

Recognizing unprecedented pressure and conflicts being exerted on limited land resources coupled with lack of adequate planning capacity, the Government of the United Republic of Tanzania established the National Land Use Planning Commission (NLUPC) in 1984 and ultimately the Land Use Planning Act No.6 of 2007 to ensure that natural resources are systematically assessed, sustainably conserved and utilized and there is equitable access and enhanced tenure, and mitigation of land related disputes. The NLUPC was deemed necessary for effective coordination among land use related activities, issues and programs undertaken by government, private and civil society sectors.

The NLUPC has been collaboratively working with multiple stakeholders and partners committed to building vibrant, compelling and inclusive land use plans in a participatory way to create resilient outcomes for development actors in Tanzania and beyond. The NLUPC partners with the Vice President's Office Environment Division of which one of the projects, Reversing of Land Degradation Trends and Increasing Food Security in Degraded Ecosystems of Semi-arid Areas of Central Tanzania (LDFS), addresses drivers of land degradation and biodiversity loss and supports climate adaptation strategies in the agricultural sector and small farmer's and pastoralist's resilience.

The project area covers twenty-two villages in five districts in semi-arid areas (Kondoa, Nzega, Mkalama, Magu and Micheweni) with the interventions reaching 30 000 direct beneficiaries and conservation and sustainable management being applied to 9 500 hectares. The participatory village land-use management approach builds upon local level institutions through a decentralized framework. Characteristics include: a) the needs for land-use planning and management are identified by the land users themselves; b) villagers participate fully in agenda setting, action planning, resource allocation and controlling the planning process which is gender sensitive and increases dialogues as well as local decision-making capacity; d) information gathering and analysis, priority setting and the formulation of village plans is local-people-centred and fosters collaboration among disciplines and sectors; and e) land use planning results in legally binding formulation and use of bylaws and is integrated into state institutional mandate for inter-sectoral planning.

The measures undertaken strengthen district development planning. Expected implementation outcomes of this participatory approach include: well adapted and locally owned plans; broad interests of various stakeholders respected and minimization of disputes; and increased implementation and land productivity for resilience outcomes.

4.5 Communicating and Integrating Evidence into Policy Processes

This section of the toolkit will explain the importance of building a culture around evidence and addressing issues with data sharing to allow for cross-sectoral evidence to be collected, organized and presented in compelling formats and with targeted relationships and trust building to influence policy.

Establishing an evidence culture
To get people to share and use evidence.

Information flow
Understanding how information gets from one place to the next

Communicating evidence
Strategic evidence in appropriate formats and for relationship building and behaviour change

Evidence wall
Looking at different types of data and evidence together to allow for understanding and value of evidence across themes and sectors

Co-design of decision platforms
Collective design of the priority data and ways to visualize and access data through a platform

RFS Country Insights

A number of the RFS Country projects identified needs associated with communicating and using evidence.

In **Uganda** the project team outlined an interest in integrating evidence and scientific information into decision making.

Niger project team identified challenges with integrating evidence from research partners into the project in an effective timeframe.

Ethiopia project identified the need to take best practice guidelines related to integrated landscape management to communicate and integrate in policy processes.

Nigeria project outlined the need for a process through which the MSP members could interact with evidence and identify key messages for advocacy at state level.

In **Malawi** the project team wanted to bring together clear lessons from implementation work to inform the water policy processes.

Application

During the training webinars, some country teams shared examples of communicating evidence and having a positive influence on a policy process:

Eswatini
Ministry of Agriculture, using agriculture shows, shares information brochures to promote the use of tractor drawn conservation agriculture implements. This aims to then be the policy of the Ministry; this will reach out to wider stakeholders such as machinery hire agencies in communities. Also, open free round table discussion with stakeholders sharing a clear picture of the project objectives.

Nigeria
We use periodic meetings where several state decision members and other stakeholders are involved and share our outputs. We also use television to share experiences and influence.

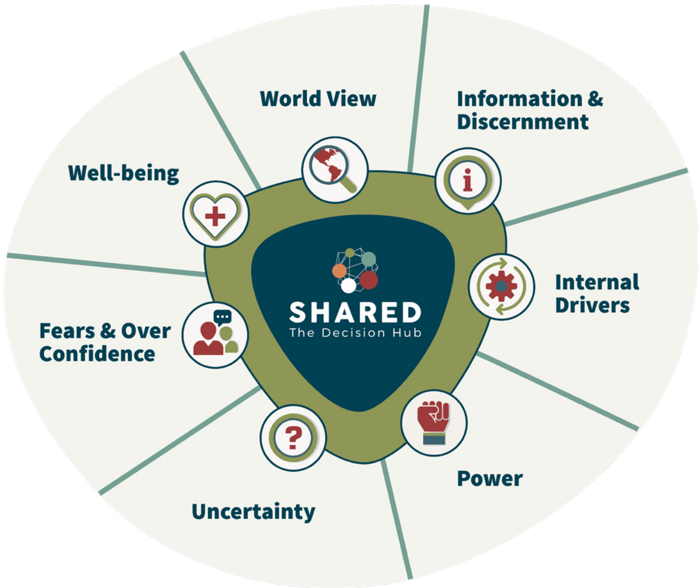
Kenya
In Murang'a, we have used petitions where trained Civic Educators reach out to their respective communities, identify issues of interest and engage the County Assembly through petitions and memoranda. Through this initiative we have seen different committees of the County Assembly conduct ground truthing exercises as well as make changes to projects.

The Kenya project also shared evidence during quarterly County Advisory Committee meetings and through monthly reports with verbal presentation backed with chats and digital maps as the case maybe.

Defining Evidence

Other influences on decision making

An important consideration when working with people and evidence is that there are many factors that influence how we make decisions. Evidence (information) is one of these factors but there are many others such as how we see the world, our fears, our power and level of uncertainty. This is why it is critical to take a people-centred approach and carefully design interaction with evidence so it can be as impactful as possible.



Considerations for integrating evidence

- Evidence will need to be presented at the right time in a decision-cycle to have an impact.
- Evidence from multiple sources that tell a complete picture will be more influential.
- People will not always respond to evidence in the way you expect. Facilitating dialogue around evidence is critical.
- Evidence is only part of the process, you will also need the right relationships (trust), sequencing and motivation of decision makers.

COMMUNICATING AND INTEGRATING EVIDENCE

Evidence culture

What is it?

An evidence culture is one where collecting, managing and using data and information to inform decision making.

Why this is important

In many cases, there is not a culture of drawing on evidence in decision making or sharing relevant evidence. This is often a result of lack of availability of evidence or even a lack of understanding of the value of evidence. To promote evidence-based decision making, it is important to create the culture evidence and willingness to share evidence.

Key steps

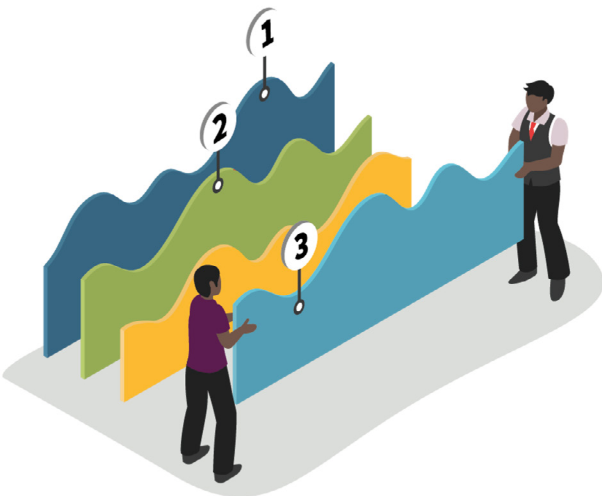
1 Obtaining data and building relationships

1. Identify the types of organizations that have data by asking:
    - **What** is the data and information that is needed and may exist?
    - **Who has it?** This could include ongoing projects, UN agencies, NGOs, CBOs, government departments, donors, research institutions
    - **Where is it?** This may be the organization headquarters or data management team.
    - **What is the quality of the data?** An important consideration before spending resources to find the data.

2. Develop a compelling request and clear set of process and hierarchy of partners for the data you are requesting to make sure people are secure in why they should share evidence and what it will be used for, including:
    - How the data will be stored, attributed and shared.
    - Why it is valuable to share the data communally.
    - The bigger picture trends can be found through data sharing.
    - What impact the data can have for the users.

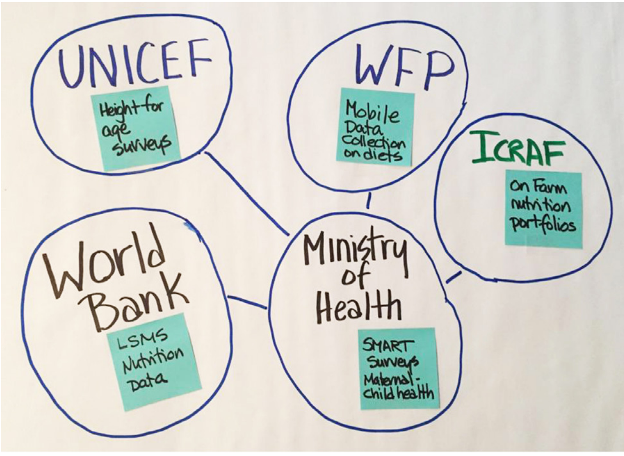
3. Understand the protocols and who serves as a gatekeeper for the data. Often data is held in many places and may leave an organization with staff turnover. The data may not be electronically stored, or assistance may be needed to bring it together.

    Different organizations have protocols and processes for sharing data and approval may be needed. Ensure you have a data request letter ready and understand the protocols of each organization.

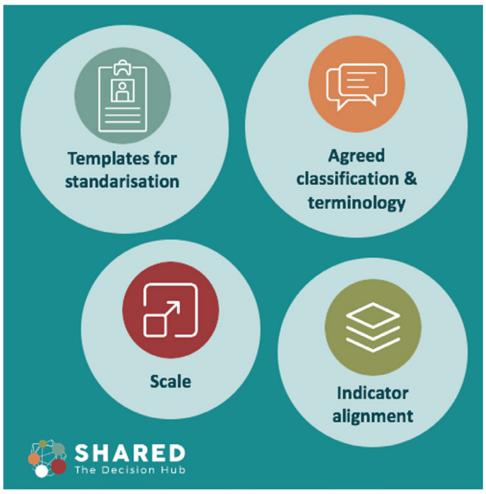


2 Standardisation of data

Once organizations have agreed to share data, a second challenge is often encountered, where different terminology, scale and indicators are used by each partner. For example, in nutrition data collection in Kenya, a number of partners were collecting data but had used slightly different terminologies for nutrition, were collecting different indicators and some collected at village level and others at household.

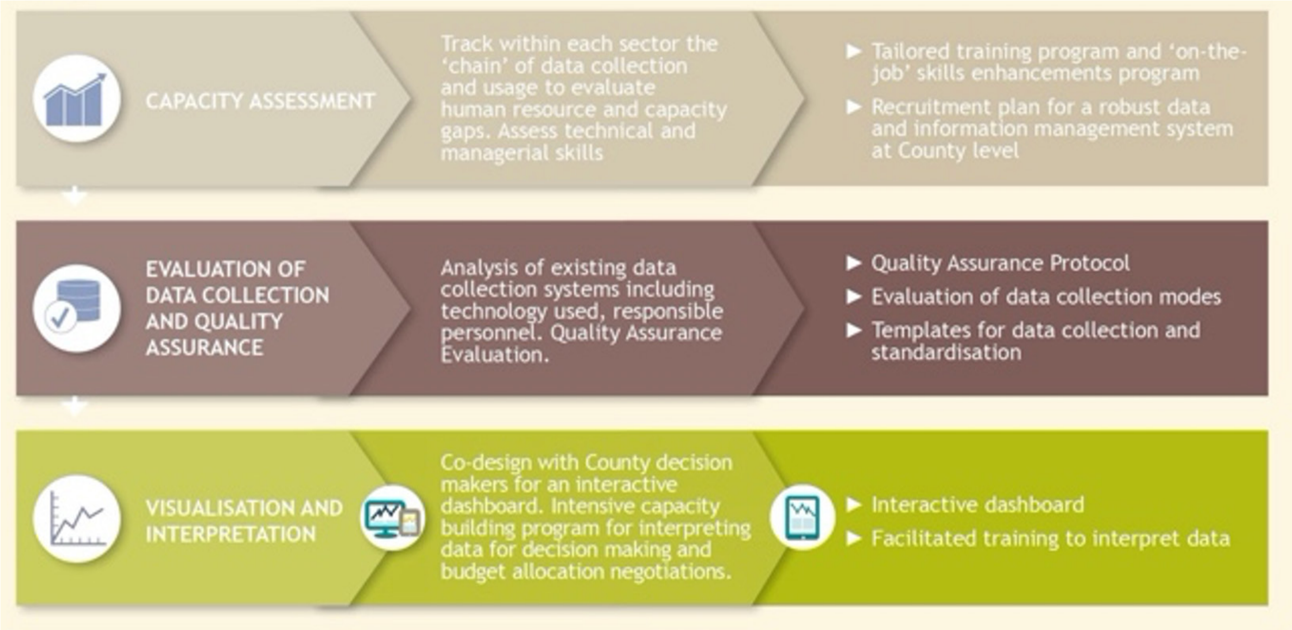


There is a need to work with these stakeholders and with the decision making body to develop templates and to agree on the terminology and scale and what indicators will be used for different topics so there is some alignment and the data can be brought together to make a bigger evidence story.



Application

Establishing a data and information system in Turkana County, Kenya, was a key step towards building an evidence culture. The steps are outlined in the graphic.



Additional resources

Data sharing, management and use:

Tenopir C, Rice NM, Allard S, Baird L, Borycz J, Christian L, et al. 2020. Data sharing, management, use, and reuse: Practices and perceptions of scientists worldwide. *PLoS ONE* 15(3): e0229003.

COMMUNICATING AND INTEGRATING EVIDENCE

Information flow

What is it?

Describing the flow of information from data collection through to storage, including aggregation and quality control.

Why we use it

Can help evidence users to understand the steps involved, the level of accuracy and the level of aggregation and where that takes place.

Application

In an example from Kenya, nutrition data was collected that the household level, often handwritten and then aggregated at the sub-district dispensary and eventually through to the county statistical unit.

Example from a sector – Nutrition data						
Level of information collection	Household collection of dietary diversity	Village level summaries	Sub district dispensary records	District information aggregated from dispensaries	Sub county aggregation	County data / statistical unit
Format	Hand-written	Recorded on a phone	Data merged	Entered into database	Database / excel sheet created	Typed and aggregated
Quality / data process	No quality checks	No quality checks	check for gaps in submission	Quality check are rare	quality check more focused on ensuring no blank records	Checked for errors

Practical considerations

Approximate time needed:
This can be applied in 1 hour in a workshop or team meeting.

Applicable location or level:
Engage information collecting organizations which may work from local through to national level.

Materials needed:
- ☑ flipchart or butcher paper
- ☑ marker pens of multiple colours
- ☑ template to capture discussion
- ☑ Miro/Mural/related software (for virtual workshops)

Types of stakeholders engaged/represented:
A mix of stakeholders representing information collecting organizations.

Facilitation experience level needed:
☐ minimum ☑ moderate ☐ expert

Moderate with specific skills needed in the resource tam related to information flow, storage, aggregation and quality.

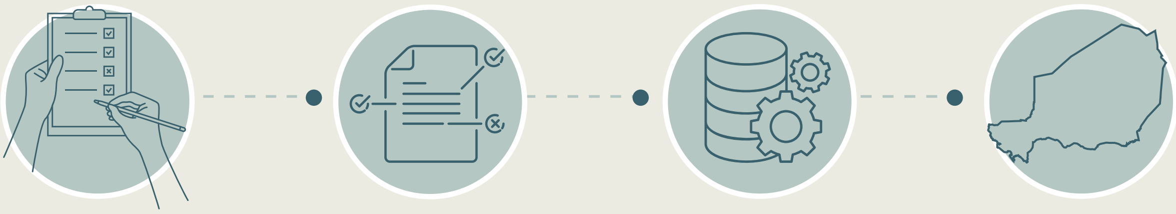
RFS COUNTRY PROJECT CASE STUDY

Niger: Information flow

The ProDAF (Programme de Développement de l'Agriculture Familiale) country project in Niger contributes to support the Strategic Investment Framework for Sustainable Land Management at national and regional level through capacity building, evidence building to improve harmonisation of policy and legislative frameworks about sustainable land management and resilience to climate change. It also contributes to the implementation of actions to combat soil degradation in partnerships with specialised NGOs.

Information is fist collected through consultative framework at communal level before being relayed to the Departmental level where data is compiled for all communes and then relayed to the Regional level where analysis is first performed before being sent to the national level. An Inter-ministerial consultation and high-level meeting takes placed chaired by the President of the Republic). The information is then validated at National level and serves to inform policy and development orientations and the update is then fed back all the way down to the grassroot level. The High Commission for the 3N Initiative, has an online data compilation platform on SLM with the support of the European Union.

The project specifically supports the regional technical committees in the regions of Tahoua, Maradi, Zinder and the facilitation of Communal stakeholder consultation in 30 municipalities. In addition, it helps set up and operationalise a platform for sharing environmental information at national level but there are still difficulties in the functioning of the centralised system at National level, urgently calling for better integration of data and scientific knowledge in the decision-making process. One of the key foci should be improving assessment of land cover change (evaluating the extent of areas degrading and those recovering) to prioritise interventions and better coordinate activities geographically.



Grassroots consultation for site selection with communities and municipal technical services

- land restoration activities
- follow-up and score sheets

NGOs compile information from their work, share it with the decentralized technical services and forward to the Departmental level where the information is compiled

Relay to the regional entities that manage data

Relay to the National level, Meeting of the Inter-ministerial Guidance Committee (Interministerial and orientation committee)

Chaired by the President for decision-making and orientation

Communicating evidence

What is it?

Communicating evidence is about finding ways to make the evidence accessible, interpretable and actionable.

Why we use it

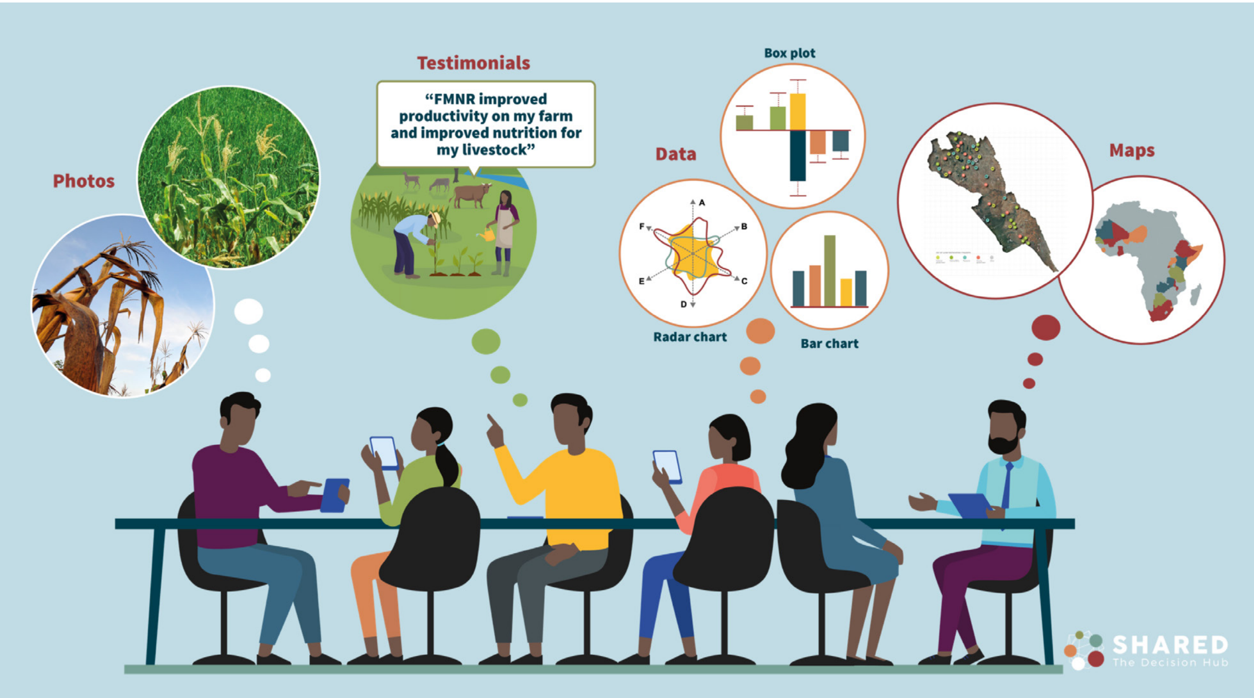
To enhance the use of evidence in decision making for more sustainable and impactful results.

Key steps

1 Identify the audience for the evidence you want to share

There may be a number of different stakeholder groups such as government, development partners, research or community. Identify what message you want to share with each audience and how much evidence you need to share.

2 Select an appropriate communication approach



When deciding on the approach it is good to consider what format is most accessible in that the target audience can understand it. A more technical group may appreciate box plots and radar charts while some policy makers will respond well to testimonials and maps. It can also be useful to use a number of formats so that people understand the key message clearly but do not miss the additional details a more complex graph can display. When using visually appealing formats such as maps, it is important to ensure the evidence being displayed is accurate as maps and some simpler graphics can be misleading if not used carefully.

Considerations for evidence sharing

There are many different ways that evidence can be communicated and adapted to your audience. Some considerations for the evidence sharing:

- The evidence being shared must be relevant to the topic or issue you are trying to influence.
- It may need to come from multiple sources both within your project and beyond (e.g. local government, national research, etc.).
- Will likely come from multiple sectors and cover environment (bio-physical) and people (socio-economic) elements.
- Can include scientific data but also community, government and development partner perspectives.
- Should be presented by multiple partners if possible as this can be more powerful and demonstrate wide support. Members of an MSP could make presentations for example.
- Evidence can be presented in meetings or workshops but also in the field (e.g. exposure and dialogue visits).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COMMUNICATING AND INTEGRATING EVIDENCE

Evidence wall

What is it?

A physical or virtual display of multiple evidence forms across themes/sectors.

Additional resources

Evidence walls are outlined in more detail in the Regreening Africa JRLM report: **Neely, C., Bourne, M., Chesterman, S. and Chomba, S.** 2019. *Regreening Africa: Joint Reflection and Learning Missions Synthesis Report.* online World Agroforestry http://www.worldagroforestry.org/output/joint-reflective-and-learning-missions-jrlm

Evidence into policy case from Regreening Africa, report from Rwanda: http://www.worldagroforestry.org/output/regreening-rwanda-trees

Why we use it

- Encourages dialogue and discussion on the meaning, relationships, relevance and implications of the information.
- Allow scientists, technical officers and NGO partners to explain information and evidence in an interactive way.
- Brings preliminary results and data into a discussion space to make it actionable as well as provide a space to discuss and understand complex data.

Practical considerations

Approximate time needed:
Preparation for the evidence call can take a number of days, presentation should take 2-3 hours in person or up to 2 hours if virtual.

Applicable location or level:
Applicable at multiple levels and can be in-person or virtual.

Facilitation experience level needed:
☐ minimum ☑ moderate ☐ expert

Moderate with specific skills needed in the resource tam related to information flow, storage, aggregation and quality.

Types of stakeholders engaged/represented:
A mix of stakeholders representing information collecting organizations.

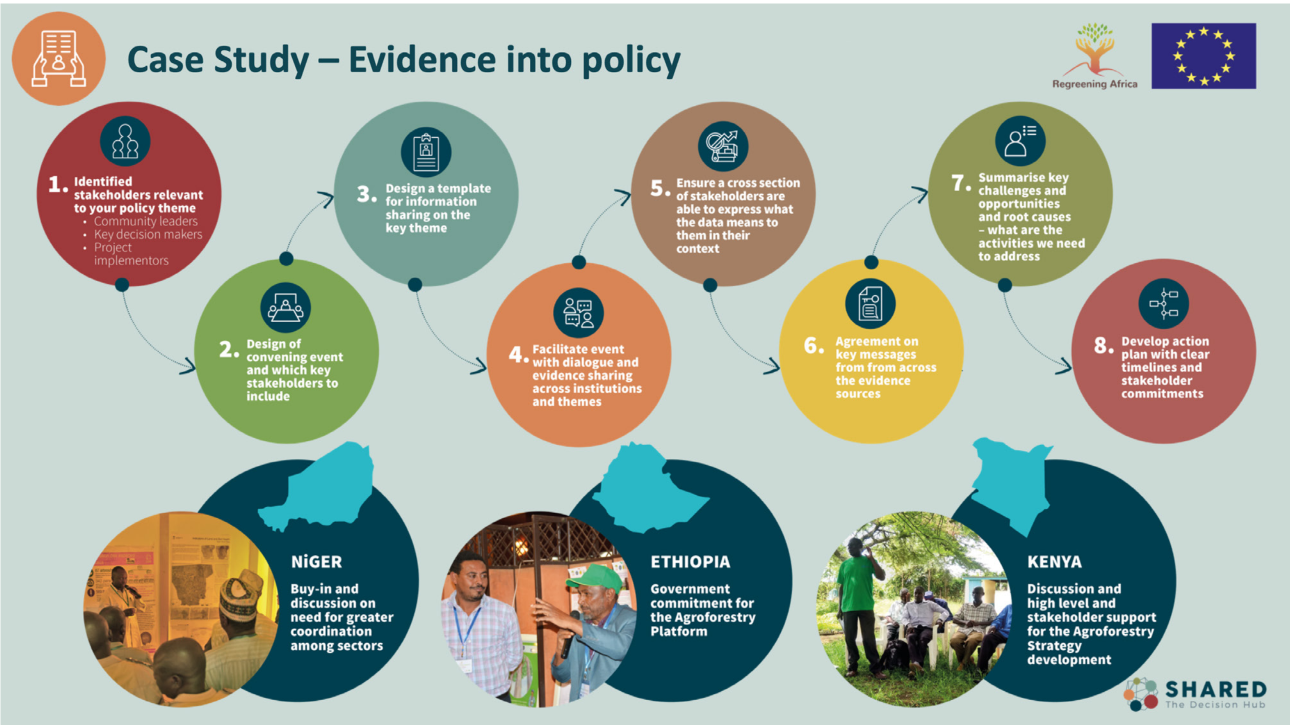
Materials needed:
- ☑ Posters or evidence printed and pasted (with masking tape or blue tack) on a wall
- ☑ marker pens of multiple colours
- ☑ sticky notes or cards to record discussion and comments (to be pasted next to the evidence)
- ☑ Miro/Mural/related software (for virtual workshops)

Application

In the Regreening Africa project, evidence walls have been used as part of the annual Joint Reflection and Learning Missions designed to enhance the program planning and implementation. Development partners present their field reflections and scientists share data on land health, socio-economic indicators, tree species and value chains through printed graphs and images on a physical wall or on a virtual wall such as a Miro board.

The display allows for discussion across the different evidence pieces and ensures the data is explained clearly and implications can be outlined. By bringing the scientists and the development partners together to discuss the evidence, it becomes more applied and actionable to the development project. It also removed the need to wait for final analysis reports to be shared before the results can become useful.

Application of bringing evidence into policy processes



Within the Regreening Africa project, national level workshops were held in seven countries to bring evidence together and integrate key lessons into the relevant policy processes in each country.

Steps

1. Identify stakeholders relevant to your policy theme. This can be done using the stakeholder mapping and analysis tolls outlined in the first section of this toolkit.
2. Design of convening event and which key stakeholder to include. A structured and inclusive engagement event must be carefully designed to identify how information will be shared and integrated. It is important to ensure development partners, private sector, government and the community are represented and a high level presence from government to support the outcomes of the event.
3. Design a template for information sharing on the key theme. This can be useful to ensure partners share information on both successes and challenges and include topics of importance such as gender. For Regreening Africa, a poster template was shared with presenters prior to the event and support in printing the posters.
4. Facilitate event with dialogue and evidence sharing across institutions and themes.
   For Regreening Africa this included poster presentations from a wide range of stakeholders.

5. Ensure cross section of stakeholders are able to express what the data means to them in their context. After the poster presentations there was time for discussion and dialogue on the evidence that had been shared and for comparing across presentations.
6. Agreement on key messages from across the evidence sources. Group discussions on the key messages arising from the evidence sharing is important.
7. Summarise key challenges and opportunities and root causes. The evidence presentations identified certain challenges and opportunities so a causal analysis (as outlined in this toolkit) was undertaken to identify opportunities to overcome underlying causes to challenges.
8. Develop action plan with clear stakeholder commitments. An agreement on the key actions that must take place and the stakeholders responsible for this is a critical step as without this the discussion can be left hanging. For Regreening Africa the outcome was a national action plan for restoration and stakeholder commitments.

Outcomes

For Regreening Africa, these national workshops had positive outcomes, including:

Agreement on the need for greater coordination of stakeholders in **Niger**

Support for the Watershed and Agroforestry Platform that was later launched in **Ethiopia**

High level government support for developing an agroforestry strategy in **Kenya**

COMMUNICATING AND INTEGRATING EVIDENCE

Co-design of evidence platform

What is it?

The co-design of online web based portals with a range of accessible data.

Why we use it

Co-design is critical as, for stakeholders to use an evidence platform, they must be involved in the design and feel that the outcome is useful. Online evidence platforms are critical to make data more accessible for decision making.

Key steps

1 Scoping the context

In a workshop or virtual event, the national priorities and policies related to the topic of interest can be discussed. Then the information needs and gaps can be identified and the stakeholders that have the data and quality.

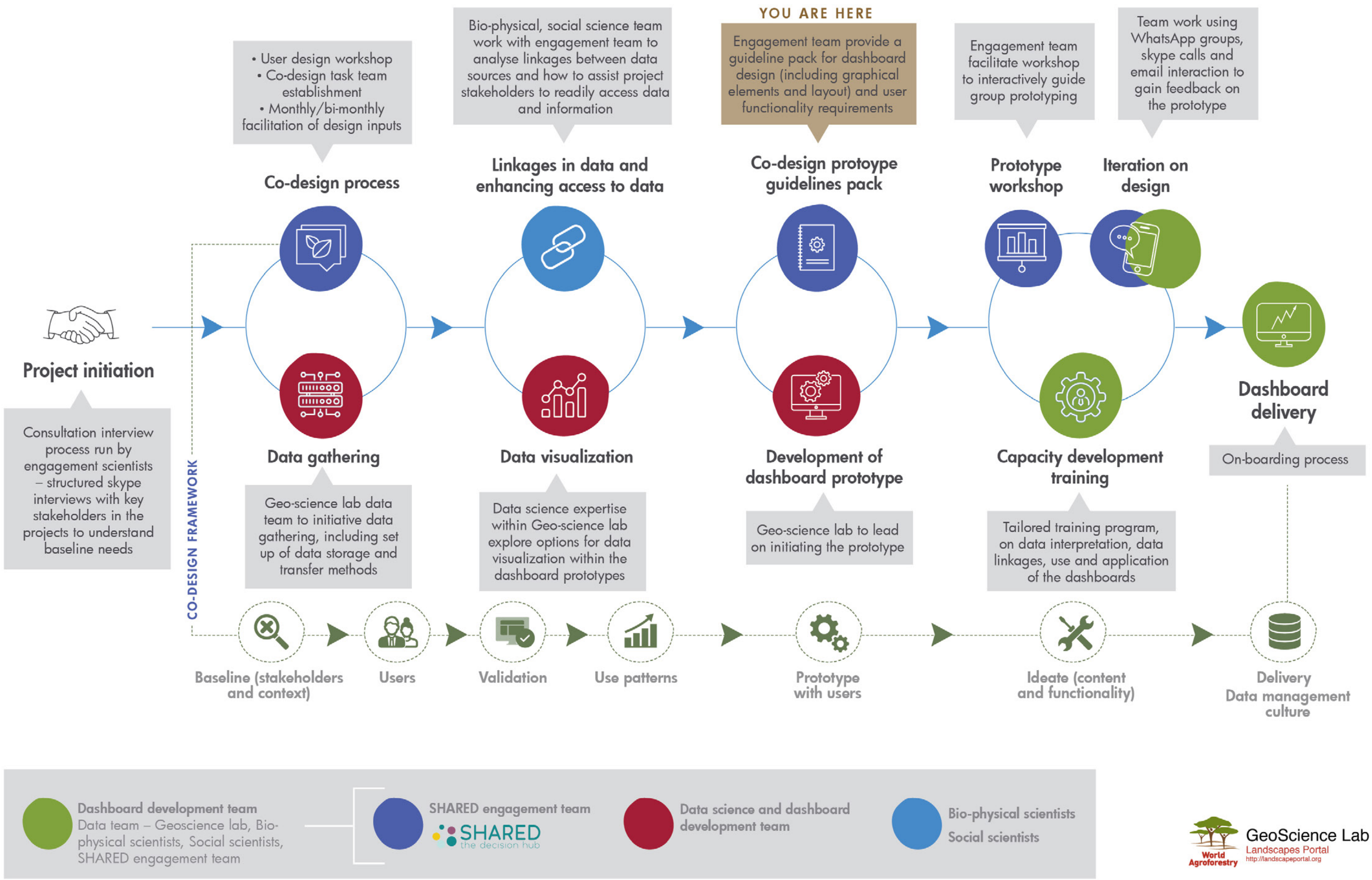
2 Data scoping and collection

As outlined in the evidence culture method earlier in this section of the toolkit, a number of considerations and approaches can be used to access data. Other important considerations are:

- Having a staff member or consultant based close to the organizations you are trying to access data rom can be helpful to follow-up data collection, for cleaning and digitizing data where needed.
- Using a co-design team to guide the process enhances ownership and support in data access.

3 User-centred design

SHARED have developed a co-design framework that utilizes stakeholder engagement to identify target user needs and place them at the centre of the design process.



Practical considerations

Approximate time needed:
Developing an evidence platform is likely to take 6 months to 1 year.

Types of stakeholders engaged/represented:
A mix of stakeholders that represent the intended end users of the platform should be engaged in the co-design process at different stages.

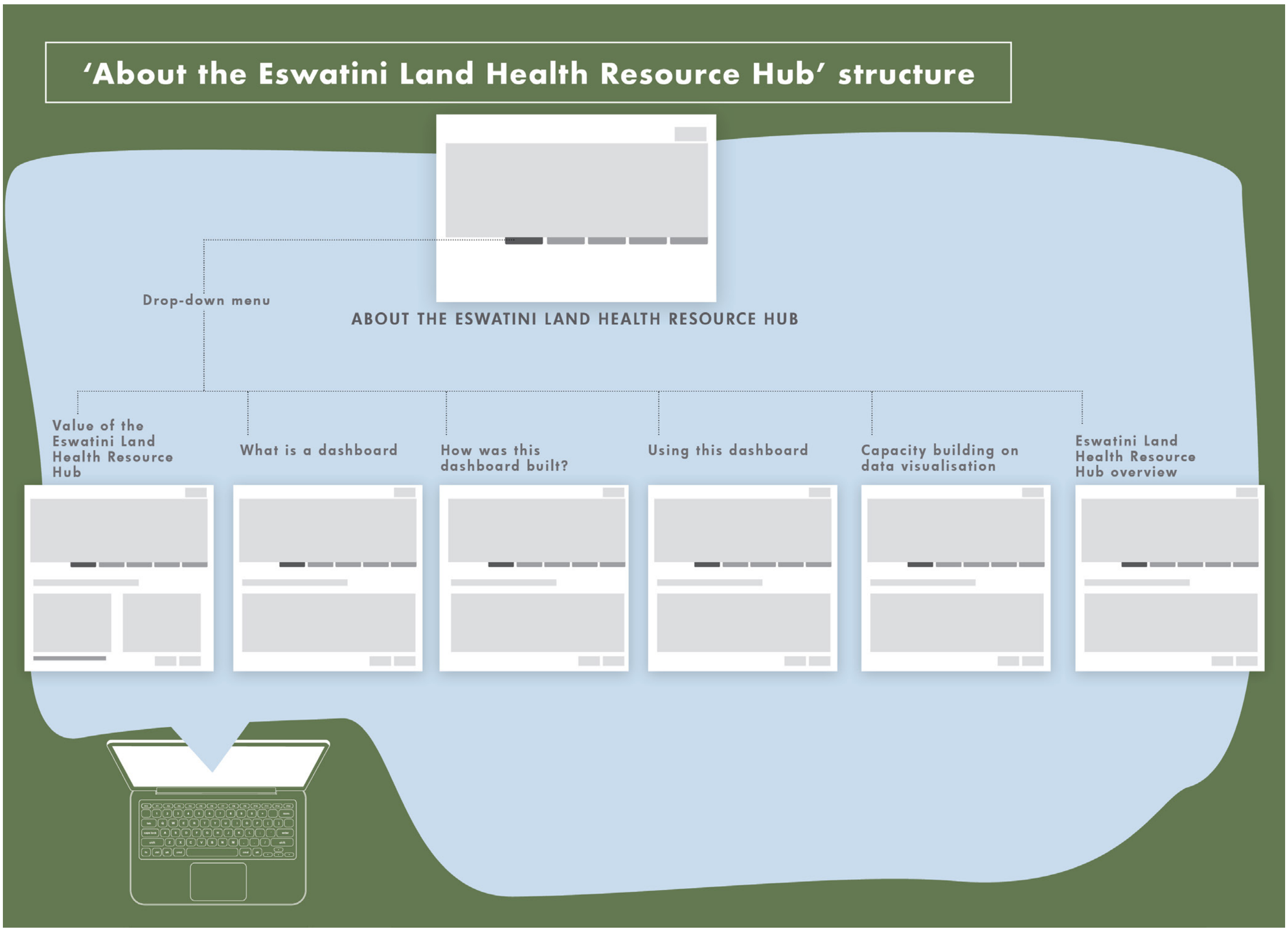
Facilitation experience level needed:
☐ minimum ☐ moderate ☑ expert

Expert facilitators with experience in co-design and user-centred design processes are needed along with experts in platform development.

Future application – Addressing an evidence and data sharing culture in Eswatini

In Eswatini the project has been addressing a challenge in information accessibility, with no data repository and a lack of an evidence and data sharing culture. The project team aims to enhance the evidence and data sharing culture in the country through a number of key activities:

- Work with the Ministry of ICT to have a national discussion on the way forward to data sharing and develop protocols.
- Develop agreed protocols on accessibility, permissions and authority needed to access data.
- Conduct training on data collection and sharing.
- Co-design an evidence platform using the SHARED framework to make data more accessible.



Evidence platform design for Eswatini

Additional resources

Co-design of evidence platforms:

World Agroforestry, GeoScience Lab. *Decision dashboards.* Infosheet. online World Agroforestry. http://www.worldagroforestry.org/output/decision-dashboards-0

World Agroforestry, GeoScience Lab. *Applying human-centred design methods in user co-design of decision dashboards in IFAD ASAP Projects.* Pamphlet. online World Agroforestry http://www.worldagroforestry.org/output/applying-human-centered-design-methods-user-co-design-decision-dashboards-ifad-asap-projects

Glossary

Advocacy
Advocacy is defined in different ways by different organizations and agencies and includes a range of activities such as organizing, lobbying and campaigning for change. It can be described as a deliberate process used to change policies and practices, reform institutions, alter power relations, change attitudes and behaviours and secure broader project impact.

Cross-sectoral coordination
Cross-sectoral coordination refers to the engagement, promotion and management, including planning and implementation, of activities conducted across different thematic sectors to deliver development outcomes (e.g. food security, nutrition, sustainable landscapes and agriculture). A cross-sectoral approach is meant to be inclusive of or work across two or more sectors (e.g. land health and human health, or agriculture, fisheries and forestry) in order to reach a common understanding and take coordinated action for problem solving.

Evidence
The Stakeholder Approach tor Risk Informed and Evidence Based Decision Making defines evidence as the integration of raw data constituting numbers, words, images, and insights emerging from diverse knowledge sources.

Multistakeholder collaboration
Multistakeholder collaboration consists of a mix of representatives or stakeholders from public, civil and private domains of society.

Multistakeholder platforms
Multistakeholder platforms refer to consultative platforms for lobbying and negotiation that are usually premised on voluntary, informal or legal arrangements that comprise different stakeholders who perceive the same resource management problem, realize their interdependence for solving it, and come together to agree on action strategies for solving the problem.

Sector
The term sector refers to: a) policy area (e.g. economic, social, cultural, environmental sector); b) a distinct field or theme of economy (e.g. agriculture, education, health sector, etc.); or c) a specific sub-sector (e.g. fisheries, livestock, nutrition).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