

CDAIS policy dialogue: Implementation guidelines for niche-level policy consultation, in preparation for a national policy event

Introduction, objectives and outputs

The CDAIS policy dialogue has started (or is about to start) in the 8 pilot countries, using an approach described in the [CDAIS Policy Dialogue Concept Note](#).

As part of this process, the policy consultant, in collaboration with the CDAIS country team will organize a policy consultations to identify policy related issues in each niche partnership, list and prioritize the issues (around five) that confront the enabling environment for agricultural innovation. The niche-level results will provide inputs to a subsequent CDAIS policy dialogue at the national level.

The **objectives** of the niche level policy consultation are:

- identification of key policy issues affecting the achievement of innovation objectives in each niche, and prioritization of the issues
- identification of challenges in the implementation of policies
- analyse how the niche partnership engages (or could engage) in dialogue related to policy aspects.

The results will be shared in:

1. A short report of the niche level consultation (ref. to [report outline](#))
2. A short note on emerging policy lessons (ref. to [note template](#))
3. A PowerPoint presentation, to be presented by a niche representative at the national policy dialogue events
4. An evaluation of the event will provide feedback and lessons learned (ref to [evaluation template](#))

Organization

The above can of course be achieved in different ways. To facilitate and harmonize the preparation and organization of the niche-level policy consultation, the FAO CDAIS HQ team has prepared these guidelines, using an approach that has been successfully tested in Bangladesh.

One option for organizing the niche-level consultation is a 2-step approach where the niche partners first meet to analyse the policy dimensions of the niche, followed by a policy consultation with local policy makers. Of course, other models are possible, depending on local context.

The 2-step approach would include:

- Step 1: A **half-day preparation meeting with niche partners**, where niche partners can feel comfortable to discuss and analyse issues around the enabling environment, building on their earlier niche collaboration under CDAIS.
- Step 2: The next day, a **half-day regional policy dialogue** is organized with the regional or district level policy makers, such as District Commissioner (Government representatives of policy maker at district level, local Member of Parliament, etc.). These stakeholder are not part of the local niche partnerships, but are responsible for policy issues. Some issues identified in Step 1

can be discussed and maybe be addressed directly with the local government. Priority policy issues that cannot be addressed at niche/regional level will then be elevated to the national level and discussed at a national policy dialogue event planned in 2018.

This format could be used as a starting point for designing the workshop program but would be adjusted to fit the local situation in each niche/country.

Step 1: Preparation Meeting with Niche representatives (about 4 hours)

Organize a half-day informal consultation meeting with niche representatives for identifying policy related issues that hinder or negatively influence on dissemination of innovation.

Objectives:

1. Clarify policy constrains for the niche
2. Clarify mechanism to engage in policy processes
3. Prepare participants for the policy dialogue process

Duration: Up to 1/2 day (about 4 hours)

Participation: Niche partnership representatives. Participants are identified and selected with the consultation of the resident NIF. Both invitation letters and telephone call will be used to invite the participants (see Annex 1: Draft list of participants).

Facilitation: Policy consultant, Niche innovation facilitator, CDAIS national team.

Draft programme:

Meeting element	Expected results	Suggested methods/approaches	Duration
1. Opening session	<ul style="list-style-type: none"> • Setting the scene • Good relations with local government • Getting to know each other 	<ul style="list-style-type: none"> • Welcome address of local government hosting the event by NPC • Very short self-introduction of participants (name, stakeholder group/organization) 	<ul style="list-style-type: none"> • 5 min • 15 min
2. Introduction to CDAIS with focus on the enabling environment for agricultural innovation systems	<ul style="list-style-type: none"> • Shared understanding of how different elements/policy functions support or hinder innovation • Understanding entry points for the niche partnership to engage in policy-level processes. 	<ul style="list-style-type: none"> • Presentation by national CDAIS team <p>Note: Use concrete examples from the country</p>	<ul style="list-style-type: none"> • 30 min
3. Presentation of policy issues identified in earlier CDAIS activities, which influence innovation in the	<ul style="list-style-type: none"> • Draft list of major policy issues • Shared understanding of earlier CDAIS work of relevance to policy environment 	<ul style="list-style-type: none"> • Summary to be prepared prior to workshop by the policy consultant in close cooperation with CPM and NIF (for the niche) using information from niche reps, scoping study, Capacity Needs Assessments at niche level, coaching plan, etc. 	<ul style="list-style-type: none"> • 10 min

niche partnership		<ul style="list-style-type: none"> • Presentation(s) plus hand-out • Policy issues also on cards or flipchart for use in session 5 	
4. Discussion, clarification, analysis and validation of the identified policy issues, as it affects the niche as a whole.	<ul style="list-style-type: none"> • A more detailed description of the policy issues (from previous session) • Joint understanding of what the policy constraints are, and how the niche is affected by them. • A description of additional policy issues, not captured in earlier CDAIS events 	<ul style="list-style-type: none"> • Discussion of issues presented before and how they affect innovation capacity of niche • Identify additional policy issues - Using cards is a quick method to get inputs from everyone (participants writing one policy issue per card). • The facilitator will then group the cards and lead a discussion to further clarify and describe each new issue, as done earlier. • Cards from session 3 to be added for the next session 	<ul style="list-style-type: none"> • 60 min
5. Prioritize and address policy issues	<ul style="list-style-type: none"> • Understanding of importance of issues • Ideas on how to address them 	<ul style="list-style-type: none"> • Priority exercise on which are the three most important policy constraints (could be done, that each participant gets 3 dots and posts them on the list of policy issue from session 3 and 4) • Brainstorming on how to address the top 5 identified constraints in the plenary 	<ul style="list-style-type: none"> • 30 min
6. How to engage in policy processes	<ul style="list-style-type: none"> • Understanding and suggestions on how niche partnership could/should engage in policy processes • Providing input for regional policy dialogue 	<ul style="list-style-type: none"> • Group work, discuss existing mechanism of niche to engage in policy processes • Plenary presentation and discussion 	<ul style="list-style-type: none"> • 30 min
7. How to organize next day	<ul style="list-style-type: none"> • Understanding of local policy dialogue and roles of participants as well as how to intervene 	<ul style="list-style-type: none"> • Policy expert, CPM discuss best strategy to intervene • Participants to exercise their intervention 	<ul style="list-style-type: none"> • 30 min
8. Closing session	<ul style="list-style-type: none"> • Summary of meeting results 	<i>CPM</i>	<ul style="list-style-type: none"> • 30 min
Small team working meeting (we think it could be helpful to have clear ideas on categories in mind for the next day)			
Reflection session on grouping of policy issues	<ul style="list-style-type: none"> • Policy issues are categorized in four policy functions to facilitate the analysis and understanding across niches (see Note below) 	<ul style="list-style-type: none"> • Reflect and organize all issues according to main policy functions (see note below) <p><i>Participants: Policy consultant, CPM, NPC, one niche leader only</i></p>	<ul style="list-style-type: none"> • 30 min

Preparing for next day	<ul style="list-style-type: none"> Material ready for presentation to regional policy dialogue (next day) Niche presenters will feel confident to present next day do a dry run 	<ul style="list-style-type: none"> Preparing flipchart and handouts on priority policy issue for next day Dry run of presentations by niche representatives <p><i>Participants: Policy consultant, CPM, NPC, niche leaders that will present next day</i></p>	<ul style="list-style-type: none">
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Note on policy categories:

One model to organize policy issues could be according to four policy functions, as proposed by the [World Bank's 'Innovation Policy: a guide for developing countries' \(2010\)](#)::

- Supporting innovators (support system for the innovation niche): business services, financial services, 'bridging' institutions such as extension service, contract farming, innovation platforms or similar mechanism, etc.
- Improving the regulatory framework: trade, investment, land, agriculture etc.
- Strengthening the research and development base: public sector, private sector, international cooperation
- Fostering innovation through education and training: higher education, vocational education, general education, further training

Step 2: Niche policy consultation with regional/district level policy makers (about 3.5 hours)

After the preparation meeting, a half-day consultation with regional/district level policy makers will be organized.

Objectives:

1. Sensitize policy makers on priority policy issues that constrain innovation in the niche, both at the local and national levels,
2. Agree on actions required to address local policy constraints to innovation
3. Identify mechanisms for continued dialogue between niche partnership and local government and other local policy stakeholders

Duration: Up to 1/2 day (about 3.5 hours)

Participation: Niche partnership representatives, local government and local media representatives. Both invitation letters and telephone call will be used to invite the participants (see Annex 2: Draft list of participants).

Facilitation: Policy consultant, Niche innovation facilitator, CDAIS national team.

Draft programme:

Workshop element	Expected results	Suggested methods/approaches	Duration
1. Opening session	<ul style="list-style-type: none"> Setting the scene Good relations among niche reps and local government Getting to know each other 	<ul style="list-style-type: none"> Welcome address of local government hosting the event NPC organization Very short self-introduction of participants (name, stakeholder group/ organization) 	<ul style="list-style-type: none"> 5 min 15 min

2. Introduction to CDAIS with focus on the enabling environment for agricultural innovation systems	<ul style="list-style-type: none"> • Shared understanding of how different elements/policy functions support or hinder innovation • Understanding entry points for the niche partnership to engage in policy-level processes. 	<ul style="list-style-type: none"> • Presentation by national CDAIS team 	<ul style="list-style-type: none"> • 15 min
3. Local government support to value chain innovation and development	<ul style="list-style-type: none"> • Shared understanding of local government's current efforts to agriculture innovation, in particular on the mango value chain 	<ul style="list-style-type: none"> • Presentation by local government representative 	<ul style="list-style-type: none"> • 15 min
4. Presentation of policy issues – local and national (from preparation meeting)	<ul style="list-style-type: none"> • Policy makers informed on policy constraints to innovation in the niche 	<ul style="list-style-type: none"> • Presentation by niche representatives • Handout and/or flip chart with results from half-day pre-meeting 	<ul style="list-style-type: none"> • 20 min
5. Discussion, clarification, analysis and validation of the identified policy issues.	<ul style="list-style-type: none"> • Agreed detailed description of the policy issues, in order of priority • Agreement on which issues can be addressed locally and how, and which needs action at national level and what action to take 	<ul style="list-style-type: none"> • Facilitated validation and discussion • Discuss and decide if an issue could be addressed at niche level or requires action at national level. • Final agreement on priority issues to be addressed (local level and national level) 	<ul style="list-style-type: none"> • 30 mins
6. Identifying options and mechanisms for addressing local policy issues	<ul style="list-style-type: none"> • List of recommendations on how to improve enabling environment for innovation at the local level 	<ul style="list-style-type: none"> • Group work, each group covering one or more priority issues • Each group include both niche representatives and local government <p><i>Session should build on session 6 of pre-meeting.</i></p>	<ul style="list-style-type: none"> • 30 mins
7. Identify mechanisms for continued dialogue between niche partnership and local government and	<ul style="list-style-type: none"> • Understanding and agreement on how niche reps and local government can continue the dialogue 	<ul style="list-style-type: none"> • Presentation by niche representative on result of discussion of the preparation meeting • Plenary discussion 	<ul style="list-style-type: none"> • 20 min

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other local policy stakeholders			
8. Recommended actions and approaches to address the priority policy issues	<ul style="list-style-type: none"> Action plan and roles on improving the enabling environment at the local level 	<ul style="list-style-type: none"> Plenary discussion 	<ul style="list-style-type: none"> 30 min
9. Closing session	<ul style="list-style-type: none"> Summary of dialogue results Next steps of the policy dialogue at niche and national levels Feedback on workshop results and process 	<ul style="list-style-type: none"> Plenary presentation Evaluation of workshop (using template provided) 	<ul style="list-style-type: none"> 30 min

Immediately after the workshop it is useful to have a short meeting with the core project team:

Small team review meeting			
Reflection on result of evaluation and lessons learnt	<ul style="list-style-type: none"> Lessons learned documented 	<ul style="list-style-type: none"> Discuss evaluation results, what went well, what should be improved for the next consultation <p><i>Participants: Policy consultant, CPM, NPC, one niche leader only</i></p>	<ul style="list-style-type: none"> 30 min

Organizing team: CPM, NPC, Policy consultant, NIF, FAO HQ (distant advisors)

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Annex 1. Tentative list of participants for preparation meeting with niche stakeholders (Step 1)

No	Name/Stakeholder group	Number	Gender
1.			
2.			
3.			
4.			
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6.			
7.			
8.			
9.			
etc			

Annex 2: Tentative list of participants for policy consultation (Step 2)

No	Name/Stakeholder group	Number	Gender	Comment
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