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Linking international agricultural research knowledge with action for sustainable development

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We applied an innovation framework to sustainable livestock development research projects in Africa and Asia. The focus of these projects ranged from pastoral systems to poverty and ecosystems services mapping to market access by the poor to fodder and natural resource management to livestock parasite drug resistance. We found that these projects closed gaps between knowledge and action by combining different kinds of knowledge, learning, and boundary spanning approaches; by providing all partners with the same opportunities; and by building the capacity of all partners to innovate and communicate.

The central role of science and technology in development, recognized since the seminal writings of Solow (1) but underfunded over the last decades, is regaining world attention (2–5). Although researchers and innovators bemoan the failure of society to use the scientific knowledge already available, decision-makers at all levels, from farmers to extension agents to international negotiators, complain they cannot get the knowledge they need to make judicious choices (6). This impasse is thought to have led to suboptimal investment in research for development (7, 8).

This article focuses on gaps that exist between knowledge produced by researchers and action taken by decision-makers, because this type of knowledge-action gap is particularly acute in efforts to reduce hunger and poverty while sustaining the environment (9). A great proportion of knowledge relevant to sustainable development has a “public good” character to it, thus undercutting incentives for private investment in relevant research and development. The dilemmas of integrating global and local knowledge that arise in many efforts to link research with action for development are also particularly acute for many sustainability problems. And those searching for knowledge that can promote sustainability often must grapple with the exceptional complexities that arise from tightly coupled human-environment systems (10–14).

Some efforts to mobilize scientific knowledge to support sustainable development have made good progress—for example integrated pest management, soil fertility enhancement techniques, improved nitrogen-fixing food-feed crops, and advances in El Niño forecasting. Nonetheless, in the course of preparing for the 2002 World Summit on Sustainable Development (WSSD) in Johannesburg, a broad cross-section of the international scientific community concluded that too many programs designed explicitly to bridge gaps between knowledge and action for sustainable development fail to accomplish their goals, and too little consensus existed on what has helped to bridge such gaps, what has not, and why (15).

In the wake of the WSSD, many efforts were launched to develop such a consensus. Our point of departure for the work reported here emerges from a set of empirical studies ranging across agriculture, health, conservation, energy and manufacturing and conducted over the last several years by the Sustainability Science Program based at Harvard University (16), the Academy of Sciences of the Developing World (17) and the Science and Technology for Sustainability Program at the U.S. National Academy of Sciences (<http://sustainability.nationalacademies.org>) (18, 19). A recent

summary of the results of this work by the Roundtable on Science and Technology for Sustainability of the US National Academies advanced a series of theoretical propositions regarding factors observed in several sectors as likely to better link knowledge with action for sustainable development (19). The research reported here juxtaposes those propositions of the Roundtable with experience garnered through knowledge-based projects to promote sustainable developing-country agriculture conducted by the International Livestock Research Institute (ILRI) and its local, regional and global partners. Our goal has been both to analyze the specific ILRI projects in light of the Roundtable propositions and to evaluate how we might generalize those Roundtable propositions in light of ILRI's experience.

Approaches for Linking Knowledge with Action for Sustainable Development. The research reported here investigates what kinds of approaches and institutions—defined as structures, mechanisms and norms governing group behavior—operating under what sorts of conditions are most effective in mobilizing scientific knowledge to inform action for sustainable development. The cases and examples considered in this article are in general highly complex systems involving the production and utilization of scientific or technical knowledge (described in detail in *SI Appendix*). The concept of innovation systems in developing-country agriculture is still at a relatively nascent stage (e.g., refs. 20–25) and we feel that focusing on lessons from empirical agricultural innovation systems-oriented case studies will add some further insights regarding this rather amorphous concept.

For convenience and clarity, we simplify this complexity by referring to the producers and users of knowledge. Producers encompass the scientists and practitioners who through their experiments, observations, and trial-and-error probing create knowledge about how the world works. Users are those who may use knowledge in shaping actions that change how the world is working, including decision makers, such as policy makers, managers, executives, households, and citizens. Because the experience of such users can also be a source of knowledge and it is not just scientists that produce knowledge, the distinction between producers and users of technical knowledge may become (intentionally) blurred.

As noted above, the conceptual framework for our analysis comes from a series of propositions advanced by the Roundtable on Science and Technology for Sustainability of the U.S. National

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that ensures rigor and usefulness (37). Many scientists fear that their adopting a systems approach will reduce their comparative advantage (e.g., in-depth knowledge of a disciplinary field) and lead to their spending all their time on partnership building and other processes. This risk is real. Our case studies all point to the need to use rigorous processes, “tried and tested” tools, and world-class expertise in facilitating stakeholder engagement, building teams, and establishing ways to measure and communicate impacts and outcomes.

The drug resistance project started by attempting to join all of the dots between all of the activities needed to stop or control drug resistance. The ambitious objectives of this project encompassed detecting drug resistance, managing the problem, building capacity in animal health, and changing livestock health policies. In practice, the project team soon learned there were some things they could deliver, some they could influence, and some that were essentially outside their control. Imperfect initial knowledge, evolution of the systems under study, and new findings appearing along the way made the continuum between research results and impacts (less drug resistance) appear shifting and nonlinear. Rational drug use, the solution to the drug resistance problem the project members eventually settled on, was not even considered an option at the beginning of the project. So although drawing out perceived links between knowledge and action at the start of projects can be helpful, any early commitment to a particular pathway disallows learning and joint exploration of various paths.

The Ethiopian market project took a “value chain” approach (a type of systems approach) and created multiactor platforms that included policymakers. Challenged to link smallholder agricultural producers to emerging markets, project members had to persuade their government partners of the benefits of new institutional arrangements, and provoke private sector interest in increasing farmers’ access to markets in a country still dominated by the public sector. Thus, taking a systems view essentially meant putting a lot of effort into trust-building and cooperation between local governments and a nascent private sector that had previously not interacted, a time-consuming process that initially limited the project team’s ability to operate. Now, however, farmers and entrepreneurs are allowed to produce and sell seeds and tools (certified by the government) for the first time, and paravets allowed to operate.

The project teams in all of the case studies found that just defining a “knowledge-action system” is a challenge. A first step taken in the second phase of the fodder innovation project was to undertake a scoping study aimed at better understanding fodder and fodder innovation systems and determining the key players that should be involved in the project. The project members are now developing diagnostic tools to facilitate and explore institutional change processes. Once again, the key to sustainable development appears to lie in investing in appropriate partnership processes and tools at the outset of any project.

Learning Orientation. All organizations interested in transforming themselves (or their self-perceptions) from knowledge producers to knowledge learners face challenges in doing so. Management must support a learning culture and provide incentives for adopting learning approaches, as it has at ILRI, where research performance criteria now include collaborative partnerships and communication outputs beyond scientific journal articles. However, ILRI and other institutions ambitious to transform themselves into learning cultures need to go further in supporting and rewarding failures (as often encouraged in private sector research). Initiatives are needed to fund collaborative teams experimenting with different learning approaches to find those that help them link knowledge with action.

All our case studies have experimented with different approaches and strategies and attempted to learn from them. For

example, in the markets project, advisory and learning committees were created to serve as learning platforms, define actions to address government priorities at various levels and create “safe spaces” for these negotiations and activities. However, the functions of these committees were not sufficiently defined and they ended up playing “policing” and resource allocation roles that essentially defeated their original purpose. Learning seems to still be a fairly abstract concept for most project staff and partners, and lack of appropriate skills, tools and experience remain constraints in Ethiopia (e.g., the facilitation and communication approaches required for full implementation of this approach). A cultural and institutional environment that discourages risk taking and finds failures generally unacceptable adds considerably to the challenge of taking a learning-based approach.

A lesson from the pastoral project with respect to a learning orientation is that convening the right team and committing to colearning and coproducing “hybrid” knowledge (e.g., a combination of indigenous and scientific knowledge) for action at the beginning of the project is absolutely critical to success. Taking a learning approach can be unsettling as there is no set recipe for what will or will not work. Relatively frequent team meetings to discuss progress and problems are needed. Confidence is built as lessons are learned and successful outcomes are achieved. Experimentation with new avenues of communication such as radio programs and community briefs were quite successful.

The pastoral project is also a good example of how institutional “protection” is needed to truly encourage innovative and risk-taking behavior; ILRI management and large external financial support effectively provided a safe space in the sense that the team was protected from external criticism concerning a livestock institute working on wildlife conservation issues. The community researcher-facilitators were highly supported and encouraged to take a learning approach by their research managers at ILRI.

The issue of improving incentives and rewards for individuals that are successful “boundary spanners” arose in all of the case studies. A critical challenge to institutionalizing boundary spanning functions within an organization is to do so while maintaining flexibility to adjust and organize according to constantly changing needs for specific information products. Many institutions are not eager to invest in boundary functions (e.g., workshops, forums, reports) that are perceived to be not a core part of their mission, nor do government or private funders want to invest in the creation of freestanding boundary organizations (36). We also saw “informal communities” of actors who play no explicit role in the system—often making one-on-one connections between explicit actors who otherwise might not meet—creating key relationships. Because of their “stealth” nature, these are very difficult to identify, yet can be important for successful boundary-spanning, and the links from knowledge to action, to occur.

Continuity with Flexibility. Our case studies highlight constraints that limit achieving continuity and flexibility, including entrenched top-down systems of governance; poor human capacity and skills in local institutions; project-trained individuals and champions moving on to other jobs; the slow pace of institutional change; and projects too short to have the kinds of impacts needed to convince governments and other partners to change their behaviors and adopt new approaches. Institutionalization of systems approaches and scaling out of project results arguably remain our greatest challenges in more successfully linking knowledge with action resulting in sustainable poverty reduction.

The main strategy pursued by all teams to enhance the probability of continuing progress after the project involved training and capacity building of partners and/or community members. In looking at the evolution of these projects and their

training activities, a clear lesson is that project managers need to be thinking about building project competency (whether by recruitment or training) in more of the so-called “soft skills”—e.g., facilitation, synthesis, stakeholder engagement, monitoring and evaluation, impact assessment—and in the use of tools and processes that will lead to faster and broader outcomes and impacts (“action”). For example, the pastoral, fodder and markets projects all built capacity to examine desired project outcomes in terms of behavioral, institutional, policy and other desired changes for each key partner involved in the project. We have seen that such efforts can result in the recognition and articulation of institutional changes that are needed for sustainable development to occur, and the design of strategies to achieve those desired outcomes.

Other strategies aimed at achieving project continuity and institutionalization (i.e., with the project team “handing over” the lead to local partners) seen in our case studies include empowerment of community members and support for collective action efforts, strong support for continuous engagement between local users and producers, joint producer-user proposal development, and creating demand for institutionalization of research activities by raising the visibility of project partners through high profile, high quality research and communication coproduced products, or “boundary objects” (6). These are cocreated objects that span two different worlds, e.g., science and policy, and meet the needs of individuals within each (19, 38), and they were important elements of success for several of our case studies. In the poverty and ecosystems services mapping and pastoral projects, these boundary objects included maps, policy briefs and reports. It was through these boundary objects that herders, state and local officials, poverty analysts, environmental modelers, conservationists, etc. began to work together toward solving complex sustainable land-use problems.

Our case studies support the idea that building innovation capacity for getting research into practical use in a range of organizations remains critically important. In particular, we need to improve stakeholder engagement, project management, and the definition, achievement, and communication of outcomes and impacts. Building capacity to innovate and communicate is key to closing the gaps between knowledge and action. We do not know enough, however, about how best to build innovation capacity in different systems.

Manage Asymmetries of Power. This 7th proposition emerged while examining critical aspects for success (or failure) within our case studies. Linking research knowledge with practical action often requires dealing with large (and largely hidden) asymmetries of power felt by stakeholders (14). The pastoral project team explicitly recognized perceived huge power imbalances across their multi-partner project team, such as the often unrecognized power of scientific experts, particularly in a rural community context and pursued multiple strategies (e.g., hiring local community members as members of the core project research team, cocreation of knowledge by a hybrid community-scientist team) to build trust and demonstrate respect for the knowledge of all partners in the project. These efforts led to the inclusion of Maasai voices in national and local land-use policymaking.

Less optimistically, the drug resistance project found that vested interests whose livelihoods depended on their monopoly of drug sales could be influenced neither by participatory processes or rigorous science. Despite clear evidence that training farmers in drug use was safe and beneficial they continued to oppose involvement of nonprofessionals. The successful re-dressing of entrenched power imbalances by any single project is probably the exception rather than the rule.

Methods

A workshop was convened at ILRI with members of the National Academies’ Roundtable and researchers involved in ILRI’s case studies. The workshop benefited from two prior workshops organized by the National Academies’ Roundtable on Science and Technology for Sustainability’s Task Force on Linking Knowledge to Action for Sustainable Development. The ILRI workshop participants first considered the set of 6 propositions described below in relation to their case studies in advance of the meeting, and were asked to prepare analyses of their case studies in light of these propositions for distribution to all attendees (see *SI Appendix*). Participants’ written answers to the questions were collected as a set of case summaries to be discussed at the meeting. The criteria used to select these case studies included geographic focus, problem area, type of partners and research outputs. This compilation of case studies on linking knowledge with action for sustainable development will be further developed for future research and teaching.

Conclusions

Our case study teams profited from a framework and propositions arising from an examination by a National Academies’ Roundtable of approaches taken by research projects likely to lead to actions that sustain development. The Roundtable approaches helpfully explicated strategies pursued explicitly to link knowledge to action. We found all of the propositions relevant and suggested some changes that may make them more helpful to international agricultural and natural resource management researchers and practitioners. We added a 7th proposition to help redress perceived asymmetries of power and to build trust among project partners. The reformulated propositions are as follows.

1. **Problem definition.** Projects are more likely to succeed in linking knowledge with action when they employ processes and tools that enhance dialogue and cooperation between those (researchers, community members) who possess or produce knowledge and those (decision-makers) who use it, with project members together defining the problem they aim to solve.
2. **Program management.** Research is more likely to inform action if it adopts a “project” orientation and organization, with leaders accountable for meeting use-driven goals and the team managing not to let “study of the problem” displace “creation of solutions” as its research goal.
3. **Boundary spanning.** Projects are more likely to link knowledge with action when they include “boundary organizations” or “boundary-spanning actions” that help bridge gaps between research and research user communities. This boundary-spanning work often involves constructing informal new arenas that foster user-producer dialogues, defining products jointly, and adopting a systems approach that counters dominance by groups committed to the status quo. Defining joint “rules of engagement” in the new arena that encourage mutual respect, cocreation and innovation improves prospects for success.
4. **Systems integration.** Projects are more likely to be successful in linking knowledge with action when they work in recognition that scientific research is just one “piece of the puzzle,” apply systems-oriented strategies, and engage partners best positioned to help transform knowledge cocreated by all project members into actions (strategies, policies, interventions, technologies) leading to better and more sustainable livelihoods.
5. **Learning orientation.** Research projects are more likely to be successful in linking knowledge with action when they are designed as much for learning as they are for knowing. Such projects are frankly experimental, expecting and embracing

failures so as to learn from them throughout the project's life. Such learning demands that risk-taking managers are funded, rewarded, and regularly evaluated by external experts.

6. Continuity with flexibility. Getting research into use requires strengthening links between organizations and individuals operating locally, building strong networks and innovation and response capacity, and cocreating communication strategies and boundary objects and products.
7. Manage asymmetries of power. Efforts linking knowledge with action are more likely to be successful when they manage to "level the playing field" to generate hybrid, cocreated knowledge and deal with the often large (and largely hidden) asymmetries of power felt by stakeholders.

Assessments of the impacts of agricultural projects aiming for sustainable development suggest that measurable livelihood, and particularly environmental, impacts take at least 15–20 years to be realized (39, 40). Our research indicates that projects aiming to improve livelihoods in sustainable ways are more successful if they incorporate most if not all of these 7 propositions. To determine whether these 7 propositions are sufficient and needed for success will require revisiting the projects in another decade or so.

Our results further indicate that boundary-spanning work is most effective when it is regularized yet flexible and when it enlists the support of informal communities of actors. Boundary spanning may be institutionalized by creating a new organization or by making it a function of part of an existing organization. Existing institutions, however, are often disinclined to invest in

boundary-spanning activities that appear extrinsic rather than central to their core mission, whereas government and private funding agencies have proved reluctant to invest in the creation of new organizations aiming to serve as "go-betweens." Largely for this reason, there exists little incentive for individuals to build their careers in the "boundary space."

Our valuation and refinement of NAS's propositions in light of research experiences by ILRI and its partners underscores the importance not only of boundary-spanning efforts but also of supporting the individuals who do such work. It is not yet clear what kinds of institutional change is likely to encourage and accelerate boundary work, what kind of incentives are needed to encourage individuals to pursue such work, and what kinds of courses and training materials will build capacity in this area. Although we are ambitious to design experiments that test our hypotheses about what propels research knowledge into development action, we frame the lessons from our case studies as described above to help us and others sharpen current thinking about closing the knowledge-action gaps in sustainable development.

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