United Nations
Economic Commission for Africa

Faulting Policy Implementation?

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UN Economic Commission for Africa

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The lonely step in STI Policy Making: Implementation

1. Agenda setting
Define the problem (identify causes, size and who is affected, and where) and define associated objectives

2. Policy Analysis
Frame questions, assess past performance and future options, techno-socio-economics viability, and prioritise

3. Policy Formulation
a. Draft policy
b. Design implementation process (strategy)

4. Policy Adoption
Process (technical committee, cabinet, parliament approvals)

5. Policy implementation
Actions: What by who, when and where, what scale

6. Policy Evaluation
Monitoring, management and evaluation

Revisit assumptions of implementation failure/gap

- **Politicians make policies while bureaucrats implement**
  - Is there a clear separation of roles;
  - Politicians & policy implementation
- **Policies are good in design but poorly implemented**
  - Is there a clear plan/strategy in place? Is it realistic?
- **Poor stakeholder engagement?**
  - Do they have any stake, which stake, how large or how small?
  - Are roles clearly defined, secured committed or arbitrarily assigned?
- **Fragmentation, duplication of efforts or competition?**
- **Policy and inaction**
  - Codified or uncodified, is policy action needed?
  - Lack of policy results in action?

Appreciating implementation failure/gap

…"failure is rarely unequivocal and absolute…even policies that have become known as classic policy failures also produced small and modest successes"..

- **Manage political commitment**
  - Vested interests of stakeholders and their interests and relationships
  - Enhance their absorptive capacity
  - High political commitment is often a disadvantage to success
- **Overly optimistic policy agendas**
  - Do they have any stake, which stake, how large or how small?
  - Are roles clearly defined, secured committed or arbitrarily assigned?
- **Inadequate coordination arrangements**
- **Poor collaborative policy making and problem-solving platforms**
- **Rapidly revolving political cycle**

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The case of Zambia NSTP 1996

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Goals and Objective

Goals

1. Enhancing linkages between technology research institutes, the private and public sector to encourage demand-driven research and development;
2. Developing and sustaining a national scientific and technological capacity and providing highly skilled human resource for increased productivity in the economy;
3. Fostering national and international linkages for enhanced technology transfer; and
4. Facilitating the acquisition, adaptation and utilization of foreign technology.

Broad policy objective ..is to embed science and technology [in] key sectors for promoting competitiveness in the production of a wider range of quality goods and services.

- Recognizing gender concern; changing institutional structure; ensuring that research is guided by national developmental goals; establishing a mechanism for increased innovation, transfer, diffusion and commercialization of technology

The main asks

1. Separate R&D from policy advice and commercialization
2. Establish the Depart. Of S&T in the Ministry
3. Establish post of S&T Advisor to the President
4. Create S&T Development Fund and Venture Fund
5. Introduce tax breaks for R&D, commercialization, licensing and other tech inputs
6. Allocate 3% of GDP to S&T

Accomplished

✓Separate R&D from policy advice and commercialization

NISIR for R&D, NCST for Advice and NTBC for ToT created

✓Establish the Depart of S&T

Established

X Establish post of S&T Advisor to the President

✓Establish Committees of STI in Parliament and Cabinet

= Create S&T Development Fund and Venture Fund

Some funds but not VC or standalone funds

+ Introduce tax breaks for R&D, commercialization, licensing and other tech inputs

Most already existed for public and private R&D, tech transfer and capital goods

X Allocate 3% of GDP to S&T

No

Implementation failure?

Internal conflicts or interests? (Case of Science Advisor)

- The Head of NCSR was automatically Science Advisor to, appointed by, and report to the President and; Chaired or was board member of other public R&D entities. The 1996 policy changed in favour of independent office. Lost both

Unclear mandates (case of VC)

- None of the entities could run a venture capital fund - NTBC can neither take equity or give loans to firms. Non-starter

Unreasonable ask (case of 3% of GDP)

- Very few countries meet R&D expenditure of 3% of GDP – none at Zambia's level of economic development ever.
- 3% of GDP is about 8-10% of national budget (budget for Health and Education)

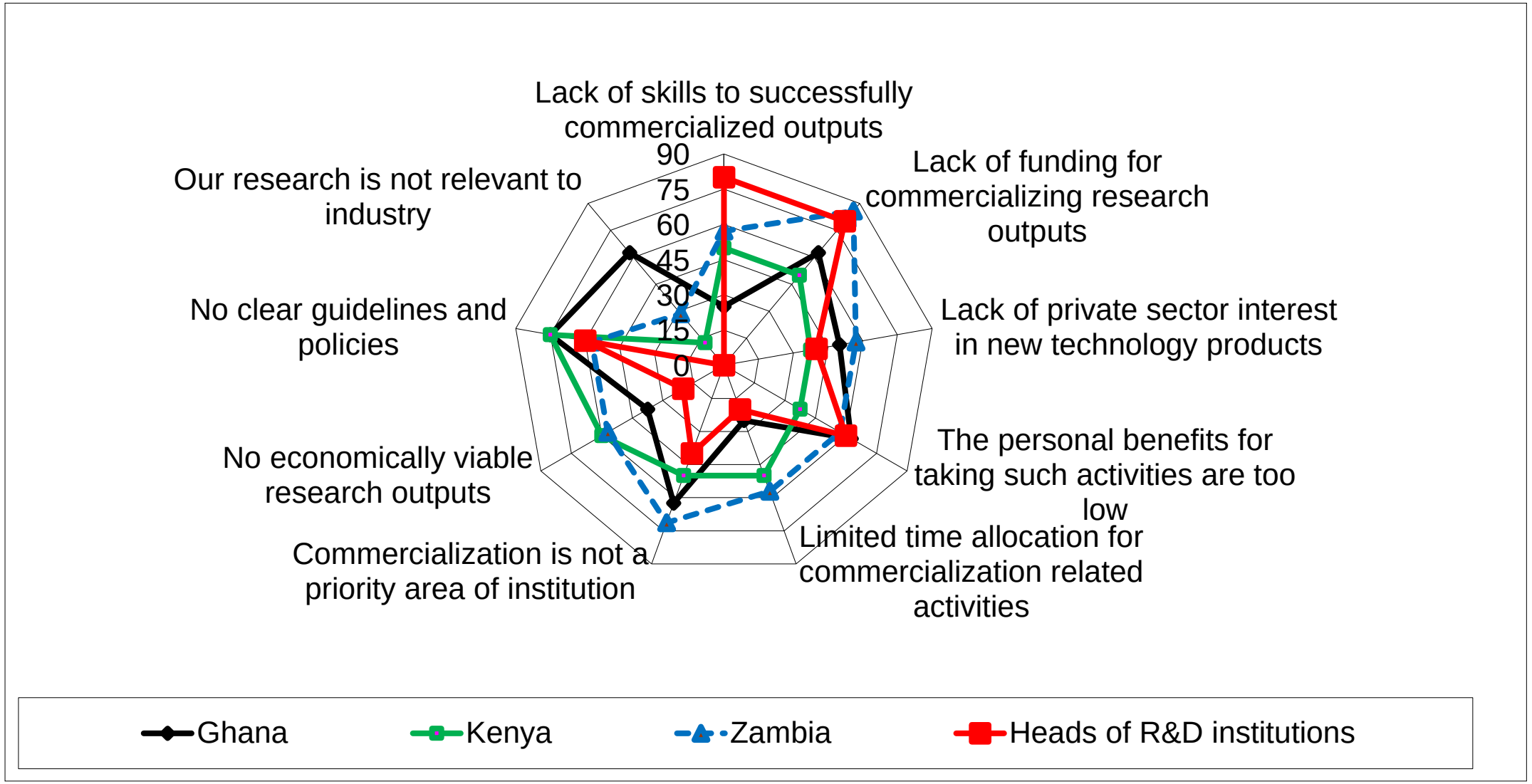
Missed the changing economic, political and technological environment

- Zambia was privatizing, STI Policy was looking for more government involvement
- ICT was growing but got less attention
- Extremely inward looking

Implementation – beyond expectations

- As a lonely step and happens late
  - *Several meeting, travels and teams involved in formulation but few in implementation*
- Assumed to be logical progression
  - *Goal determine institutions, institutions determine outcomes, but rather complex, non-linear and in everchanging (cases of Internet, mobile, biotech)*
- The links between goals and the planned actions
  - *"… embed science and technology [in] key sectors for promoting competitiveness in the production of a wider range of quality goods and services"* and establishment of institutions…
- Implementation always bring new issues on the agenda
  - 'Things never go as planned'
- Blurring distinctions between policy formulation and implementation (e.g. health decisions are self-implementing)

A Common Understanding is Important: TOT



Thank you.

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