

TFM IATT Work Stream 6 on Capacity-building
and

Southern African Development Community

Module 7, Session 5, 10th December 2020

Part 3. Common practices, challenges, lessons learnt, in policy evaluation



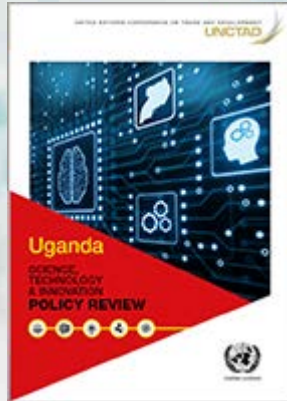
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UNCTAD STI Policy Reviews

1. Botswana
2. Zambia*
3. Dominican Republic
4. Uganda*
5. Ethiopia
6. Panama
7. Rwanda*
8. Iran
9. Thailand
10. Oman*
11. El Salvador
12. Ghana
13. Peru
14. Lesotho
15. Mauritania
16. Angola



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Science, technology and innovation / Strengthening National Innovation Systems

Strengthening National Innovation Systems

Science, Technology and Innovation Policy Reviews (STIP Reviews) are undertaken by UNCTAD at the request of member States.

Through a STIP Review, a country's STI stakeholders can identify the key strengths and weaknesses of their innovation systems and establish strategic priorities for its development.

The STIP Review report published by UNCTAD includes a diagnosis of the national system of innovation (NSI), an assessment of the STI policies in place, and is normally complemented by in-depth studies of specific sectors, institutions or STI-related problems that are of particular relevance to the country under review.

The STIP Review process is also intended to raise awareness and to stimulate a policy dialogue among stakeholders about the role of STI in national development and to encourage the emergence of stronger linkages among the STI players.

Another key goal of the STIP Review process is to identify practical actions that favour technological capacity-building (the capacity to generate, absorb and diffuse knowledge and to create and support dynamic linkages and learning processes among STI stakeholders) and the strengthening of their innovation capabilities (the practical and productive materialization of science and technology into socially or commercially valuable products and services).

STIP Reviews can provide the basis for capacity-building activities targeting various elements of the innovation system. In several beneficiary countries, STIP Reviews have ignited significant renewal in STI policy, helped raise its profile in national development strategies and facilitated the inclusion of STI activities in international cooperation plans.

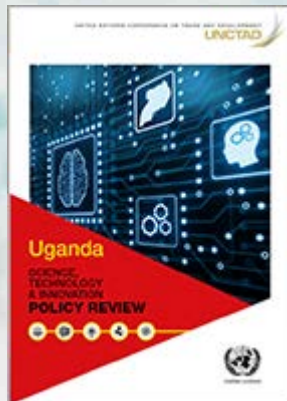
Documents and Publications

Examen de las políticas de ciencia, tecnología e innovación : República Dominicana
UNCTAD/DTL/STICT/2020/8 - 26 Apr 2021
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OBJECTIVE:

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Focus: Policy evaluation

Situation: no monitoring+evaluation process, but new policy being prepared, old one revised

1. Policy evaluation, NSI assessment
2. Assessment of innovation performance
3. Goals and outcomes
4. How to move forward?

1. Policy evaluation, NSI assessment

- **STI policy under review:**
 - ✓ Coherence with national development strategy?
 - ✓ Does development strategy recognise STI?
 - ✓ Outreach to other policies and policy domains?
- **All other policies**
 - ✓ Implicit or explicit acknowledgement of *S,T and Innovation?*
- **Are policies inter-related?**
 - ✓ Inspect implementation matrix (*who does what?*)
 - ✓ History of collaboration, joint activities?

1. Policy evaluation and assessment

(... continued)

- **National System of Innovation** (*Innovation Ecosystem*)
 - ✓ Is it used as framework for policy design? (... *implicit or explicit?*)
 - ✓ Mapping of system and sub-systems – exercise for STI agency and stakeholders?
 - ✓ How strong are information gatekeepers?

Q: Is the NSI operating?

Networks

Linkages

Interactions

Relationships

Quantity

Quality

Stakeholders

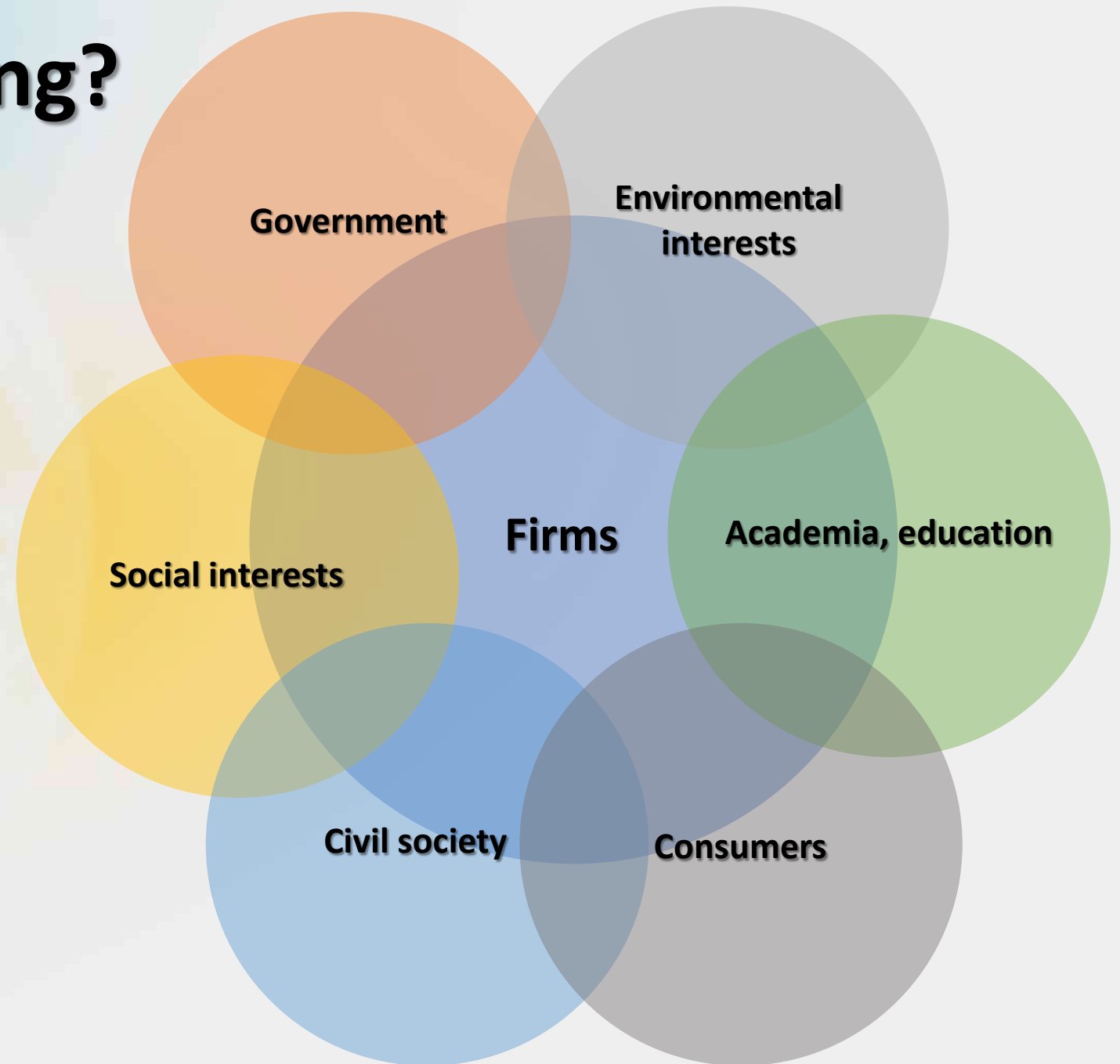
Capability

Capacity

Learning

Knowledge flows

Information gatekeepers



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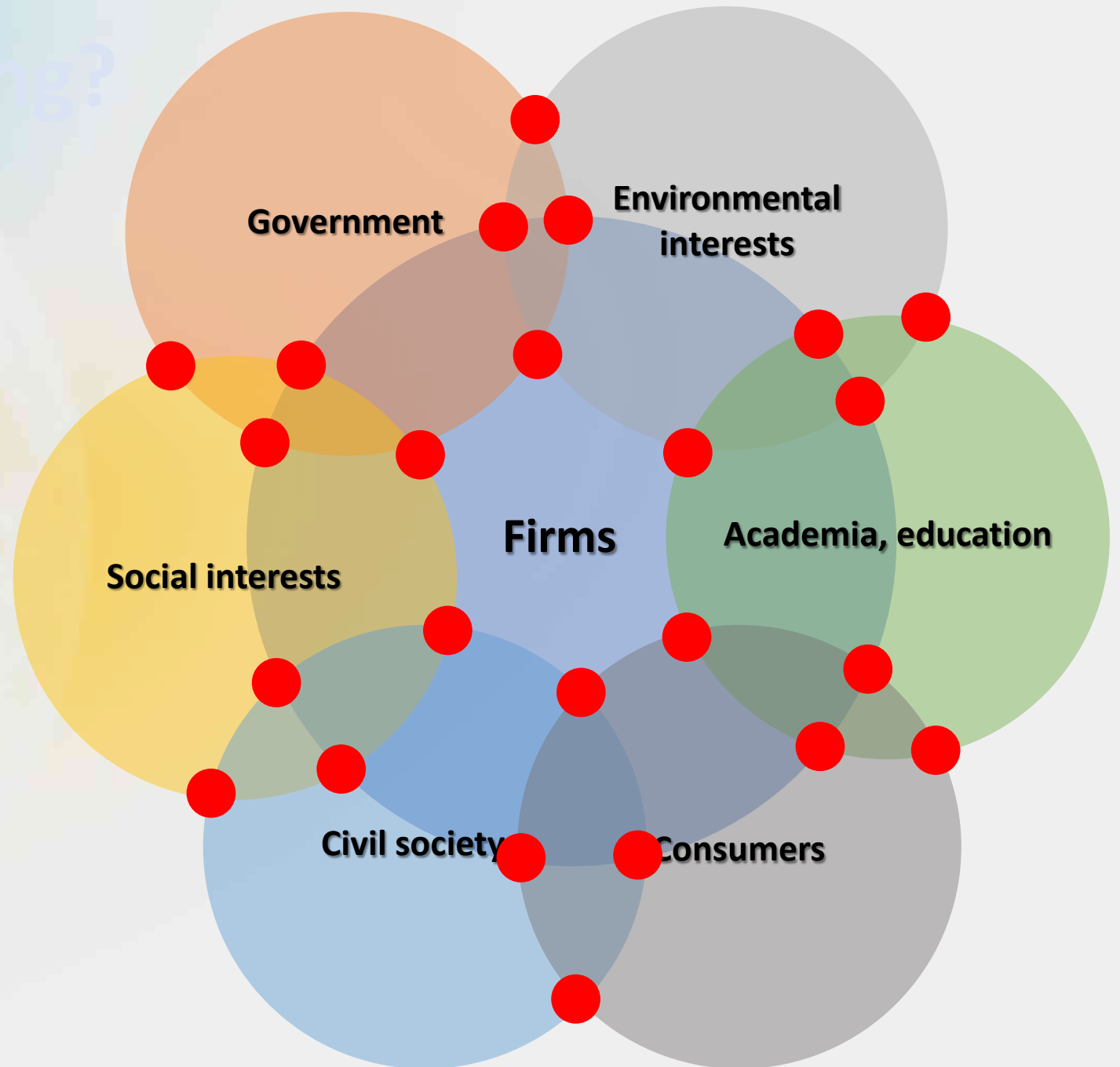
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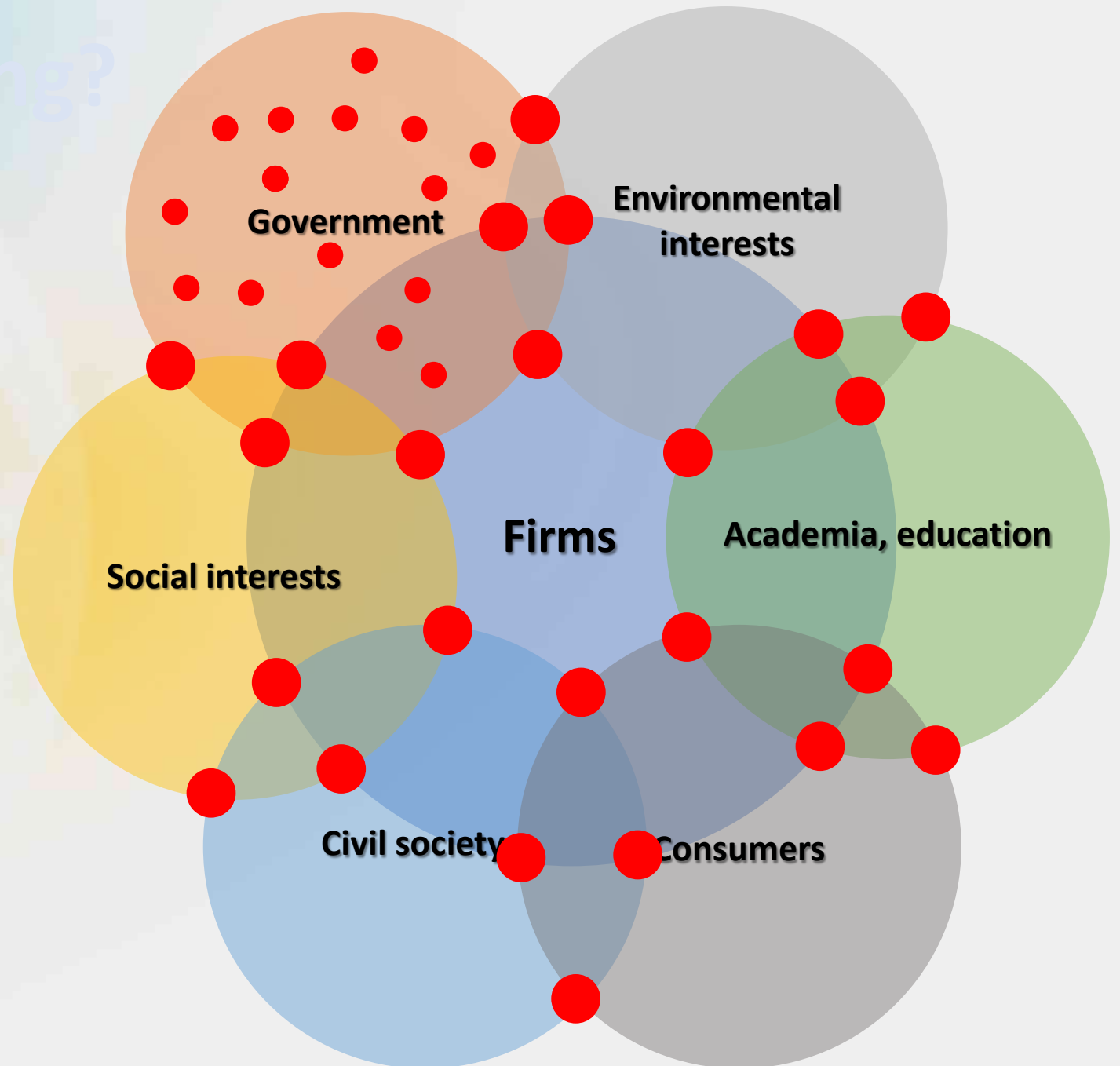
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1. Policy evaluation and assessment

(... continued)

- **National System of Innovation** (*Innovation Ecosystem*)
 - ✓ Is it used as framework for policy design? (... *implicit or explicit?*)
 - ✓ Mapping of system and sub-systems – exercise for STI agency and stakeholders?
 - ✓ How strong are information gatekeepers?
- **Reporting directions and information flows**
 - ✓ Within the STI policy? (*funds/agencies > ministries > cabinet, top-down, bottom-up*)
 - ✓ External – among stakeholders? (*horizontal information flows*)
- **Development of a consensus narrative** – *what works, what doesn't*
 - ✓ Cannot replace data, but may uncover truths, provide insight
 - ✓ Data does not provide the narrative – just the dots, not the connections
 - ✓ Requires discussions with a large number of diverse stakeholders

2. Assessment of Innovation performance

- Assessment of *innovation outcomes*
 - ✓ Global Innovation Index
 - ✓ World Competitiveness Report
 - ✓ National surveys or data on innovation outcomes (firm-level?)
- Evaluating *framework conditions* for innovation
 - ✓ Macro indicators, trade openness, transformative processes – change in sector distribution
 - ✓ Cost of capital, access to funding (mapping the funding ecosystem!)
 - ✓ Physical infrastructure (transport, water, waste, energy, ICTs)
 - ✓ Human capital (all levels, including vocational training)
 - ✓ R&D labs, Tech Transfer centres, business incubators, accelerators ...etc.
- Linking framework conditions in causal relationships to innovation outcomes? ... and to current STI Policy? (*many caveats...*)

3. Goals and outcomes

- ✓ Build capacity to carry new or revised STI policy
- ✓ **Process of producing a STI Policy Review is as important as the Review**
- ✓ Serve upcoming policy revision with substantive inputs
- ✓ Energize policy learning cycles
- ✓ Develop consensus on common challenges among STI stakeholders
- ✓ Define organizational, structural challenges in agency carrying STI mandate
- ✓ Develop priorities? Develop stages? (short-, medium-term?)
- ✓ Develop a locus of coordination for future policy, intensify stakeholder interactions, raise awareness of need for **NSI framework**
- ✓ Reflect on development of auxiliary agencies, funding vehicles

4. How to move forward?

- Many **UN and other International Organizations** do policy reviews
- International consultancy firms, local research institutions
- Decisions are needed – good will is not enough:
 - ✓ **Address** an underlying **policy process**
 - ✓ **Define objectives, goals** – what is to be achieved?
 - ✓ **Establish who are the STI stakeholders, map the NSI**
(names of specific organizations, firms and industries)
 - ✓ **Develop commitment**: timeline, funding and human resources
- Importance of **external evaluation** with no vested interests in the outcome
- Any/all **IATT WS6 agencies** can guide and help



THANK YOU!