Handbook on how countries can formulate and implement effective Research and Innovation policies

Chux Daniels and Alessandro Bello

10 May 2024
Handbook on how countries can formulate and implement effective Research and Innovation policies

PARTICIPATING COUNTRIES

Cameroon, Ethiopia, Gambia, Guinea, Kenya, Lesotho, Mauritania, Mauritius, Mozambique, Namibia, Seychelles, Tanzania, Timor-Leste, Togo and Zambia
Mutual Learning Exercise

• The OACPS and background to the MLE

• The MLE aims to exchange knowledge and experience between countries to enhance the capacities of policymakers

• Why do we need a Handbook of this nature? And why now?

• Method, guiding conceptual and theoretical frameworks
Value addition of the R&I Policy Handbook

- R&I Policy Formulation and Implementation
- Funding
- Monitoring and evaluation
- Capacity
- Inclusiveness
- Prioritisation
- Governance
- Politics and Power
Chapter 2: R&I Policy Formulation and Implementation

Overview
Status of R&I/STI Policies in Handbook countries
• Why we need policies: weak institutions, funds management, implementation, impact.
• Most ACP countries have explicit STI policies (but R&I policies and strategies are often implicit).
• Table 1: summarises the status of policies in ACP countries.

Main challenges and why they have persisted (formulation)
• Poor understanding of the relevant theories that underpin policymaking, weak MERRL.
• Weak evidence base to inform and support policymaking, difficulties with prioritisation.
• Inadequate capabilities and skills, and low levels of inclusiveness and stakeholder participation.

Main challenges and why they have persisted (implementation)
• Lack of implementation framework, costed, indicators, reporting and accountability measures.
• Inadequate funding and resources for implementation, coupled with gaps in governance.
• Low levels of inclusiveness and stakeholder participation, political commitments and cycles.

Policy instruments
Case Studies
• Table 2: summary of typical policy instruments and how they are operationalised.
• Case studies: Zambia – highlight re/formulation, alignment, choice of instruments, etc.
• Essential to foster opportunities for transformative change.

Recommendations
• Formulation: a) human capital, b) experimentation, c) broader stakeholder engagement.
• Implementation: a) framework, b) pol. commitments, c) engagements with decision-makers.
• Cross-cutting: a) deepening knowledge on R&I policymaking, b) funding, c) governance.
Chapter 8: Governance – main insights

Overview
Status of R&I/STI Policies
Governance in Handbook countries
• Why we need governance: coord., collab., strengthening R&I linkages, learning.
• Relevant for both policy form. and implement., alongside evaluation and reviews.
• STISA-2024 provides an e.g. of governance, focusing on decision-making processes.

Main challenges that governance could help address
• Absence of governance framework to guide policymaking.
• Fragmentation, silo approach to policymaking, coord. and collab., resource mgt.
• Knowledge generation and circulation, learning, indicators and data mgt., stakeholder participation.

Main interventions and how they have been operationalised (policy instruments – Table 3, pp 55-56)
• Institutions strengthening (Ethiopia, Zambia, Guinea); Edu., training and caps. build.
• Improving funding landscape, enhancing inclusivity, partnerships.
• STI Policy reviews, creating communication mechanisms.

Opportunities for transformation
Case Studies
• Enhanced policymaking, decision-making, structure, infra., research and learning.
• Case studies: Lesotho, Tanzania, Zambia, Seychelles, Namibia – highlight governance.
• Essential to learn from policy experiments & niche practices that foster governance, transformation.

Recommendations
• Put in place governance framework, strategies or plans to guide policymaking, decision-making, etc.
• Strengthen the capacity of policymakers and decision-makers in governance.
• Enhance learning and knowledge, explore options for policy/governance champions (e.g. S&T Cmte).
Chapter 8: Governance - It all boils down to this

STATUS OF STI/R&I POLICY GOVERNANCE IN HANDBOOK COUNTRIES – EXISTENCE OF A GOVERNANCE FRAMEWORK OR NOT, EXTENT TO WHICH IT IS OPERATIONALISED, EFFECTIVENESS CONSIDERATIONS

GOOD/BEST PRACTICES IN STI/R&I POLICY OR STRATEGIES GOVERNANCE – CASE STUDIES

POLICY INSTRUMENTS, INDICATORS AND METRICS (FOR EFFECTIVENESS, ACCOUNTABILITY, ETC), WITH RESPECT TO GOVERNANCE
Chapter 10: Conclusion – main insights

Concluding remarks and key messages 1
- Countries acknowledge the importance of a) R&I, and b) R&I policies
- But, implementation remains weak, coupled with lack of governance framework
- Thus, weakening the ability to co-create R&I policies that foster transformative change

Concluding remarks and key messages 2
- It is essential to enhance collaboration, cooperation and learning in policymaking.
- Low levels of funding, capacity, evidence base and inclusivity hinder R&I policymaking.
- Need to sustain progress in approaches that foster inclusiveness & wider participation.

Overarching recommendations to ACP MLE Countries
- In policymaking: a) involve key actors e.g., planning commissions; to ensure funding
- Account for funding (for impl., gov., eval.) during formulation; broaden stakeholders
- Align R&I policies with related policies; ensure a robust gov. framework is in place.

Overarching recommendations
- Extend support for ACP countries in R&I policymaking beyond formulation – impl., gov.
- In doing so, ensure alignment with development priorities/policies
- Support ACP countries in the set up of sustainable funding mechs; ensure effective MEL

Overarching recommendations
- Emphasis and support capacity development, and peer learning among ACP countries
- Foster experimentation with demonstrators in e.g. gov. and political commitments
- Enhance countries abilities to understand and address politics & power in policymaking
Thank you

Link to download the Handbook:

Chux Daniels: c.u.daniels@sussex.ac.uk

OACPS R&I PSF psf@oacps-ri.eu