Evaluation of the EU Support to Research and Innovation in Partner Countries (2007-2013)

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Outline of Presentation

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• Main parameters of Evaluation
• Conclusions
• 6 Case study examples
  • CGIAR – global
  • SWITCH Asia – regional
  • JAES – regional: African Union
  • ASARECA – regional
  • Ethiopian Coffee Sector – national
  • PASRI – national: Tunisia
• Innovation system concept
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Evaluation – main parameters

Objectives – evaluate EU support to

R&I for development
- Extent of strategic approach adopted
- Enhance capacity to reach development objectives

Specific interest in:
- Capacity building
- Transfer of results
- Use of instruments and modalities
- Approaches used: country/regional, R&I integrated in sectors

Four themes to cover
1. Food Security, Nutrition and Agriculture (FSNA)
2. Health
3. Environment and Climate Change (EnvCC)
4. Science, Information Society and Space (SISS)

Three instruments
a. The European Development Fund (EDF)
b. The Development Cooperation Instrument (DCI)
c. The European Neighbourhood & Partnership Instrument (ENPI)

Ten countries visited:
a. EDF: Burkina Faso, Ethiopia, Kenya, Mauritius
b. DCI: Peru, South Africa, Vietnam, India
c. ENPI: Tunisia, Ukraine

EUR 1.14 billion in contracts (2007-2013)
- Spent on projects with an R&I component
- Almost half (45%) went to the Food Security sector
- More than half (59%) spent in ACP countries
Conclusions

Policy & Strategic Focus
- Sectoral approach broadly effective but has limits
- DEVCO support for R&I4D hidden and poorly understood
- Experience provides pillars for a new overall strategy
- Effective partnerships at different geographical levels useful

Operational Approach
- Logic of support is solid but not deployed consistently
- Use of modalities and instruments not strategic
- Inadequate dedicated capacity particularly in EUDs

Complementarity
- Division of labour between DGs DEVCO and RTD exists but could be stronger
- Policy coherence well understood and applied by different actors

Results
- Results achieved but largely ad-hoc and localised
- Societal uptake has been limited
- Capitalisation of results has been inadequate
- DG DEVCO not perceived as an agent for R&I4D
Global Partner

CGIAR, The Consortium of International Agricultural Research Centres.

It runs 15 global CG Research Programmes (CRPs).

Main findings

The EU’s coordinated influence on the CGIAR reform has been significant:

- With the help of GFAR, CGIAR strengthens consultations and policy dialogues with national and (sub-)regional stakeholders.
- Multi-stakeholder partnerships, policy outreach and collaborating closely with national institutions, NGOs and farmer organisations are now central features of most CRPs.

CGIAR research has contributed to development outcomes:

- The CRPs lay an important foundation for a sustained delivery of global and regional public goods for sustainable agricultural development.
- Investing in CGIAR research produces ‘good value for money’.

The EU’s choice to directly fund CRPs has proven to be an effective way to strengthen the EU AR4D agenda.

CGIAR is a key global partner for EU support to R&I in FSNA.
Regional level

DEVCO programme to fund innovation in the environmental sector for sustainable growth
- Encourage SCP practices and technologies
- Focus on SMEs
- Funds series of local projects across Asia
- Up to end 2013, 86 projects funded

Main findings

- MEET-BS – promotes sustainable production by developing markets for affordable water and energy products
- SPIN VCL – 11% of assisted projects successful in capturing markets for their products

Despite successes both projects met external and internal obstacles
- Lack of strong price signals in energy and resource prices to adequately reward improved efficiency
- Lack of national standards to support SCP - bottom-up project inadequately supported by top-down measures
- 3-4 year timescales of project funding is too short for fundamental business transformation

SWITCH Asia – key EU regional programme to fund R&I in Environment sector largely with private sector.
Regional partner

A platform used to
• Conduct policy dialogue on African priorities and joint initiatives
• To jointly fund research
• To build capacity to manage R&I
• To provide access to European S&T

Main findings

• Joint Africa-EU Strategy – 8th Partnership on *Science, Information Society & Space* – recognises S&T as essential element engines of socio-economic growth and development

• Policy dialogue on R&I – support to STISA: *Science, Technology & Innovation Strategy for Africa*

• AU Research Grants – 20 grants of ~EUR 750,000 to Africa-Europe consortia of ROs in

• Capacity Building for AUC S&T Department – to set up and administer system of research grants

• MESA – Monitoring for Environment and Security in Africa – project to make satellite and remote sensing data available to government, commercial and academic users across Africa

The JAES is both a platform for R&I policy dialogue and a framework for implementing regional initiatives with the AU.
ASARECA is a sub-regional organisation of FARA (Forum for Agric. Research in Africa).

It aims to strengthen the NARS of its East and Central African member countries and link them regionally.

Main findings

- Through its activities ASARECA promotes and facilitates regional collaborative research and strengthens the network capacities of research communities.
- ASARECA has been effective in coordinating multi-stakeholder research projects at the regional level with national, regional and international partners.
- The multi-donor trust fund through which ASARECA is funded has been effective at simplifying finance, but sustainability is under pressure due to lack of core funds and lack of capacity to mobilise member country support.

ASARECA is a good example of support to a regional network.
Ethiopian coffee sector (Text Box 15)

**National level**

The EU has supported R&I work in the government's Coffee Improvement Programme (CIP) for over 30 years.

The research components were implemented by the Ethiopian Institute of Agricultural Research (EIAR).

**Main findings**

- The EU support has had a major impact on the success of the CIP programme.
- R&I and uptake of research results by end-users has been central to the EU approach. Results include the development of 11 new varieties with increased resistance to pests.
- However, due to institutional hurdles, Ethiopia’s absorption capacity of EU support was significantly reduced (50% of the total EUR 15 million budget).
- Government reforms led to EU resuming support.
- The continuity of the EU’s commitment and its tailored approach is highly appreciated by stakeholders.

R&I is at the core of EC support to the Coffee Sector in Ethiopia.
## PASRI Tunisia (Text Box 12)

### National level

Programme d’appui au système de recherche et de l’innovation (PASRI)

- Implemented by Government (ANPR) and GIZ
- Works closely with research community, private sector and various GoT ministries
- 3 components
  - Governance
  - Interfacing
  - Networking

### Main findings

- Focus on National Innovation System (NIS)

Two types of activities

- Structural activities – diagnostic studies, facilitation, and stimulating creation of networks
- Priming activities – pilot projects to catalyse collaboration between NIS actors: MOBIDOCs

Serious attempt to address R&I continuum in challenging circumstances post-Revolution

- Space for rethinking and making changes yet also lack of stability
- Focus on innovation, stimulating private sector, encouraging research community to address industry needs – potentially major impact
- Sustainability not assured at time of visit (Nov 2015)

Highly relevant project with wholistic approach to NIS
Innovation system (Figure 12)

- Diverse innovation & learning pathways lead to development outcomes
  1. Science-validation-adaptation-scaling
  2. Transfer-validation-adaptation-scaling
  3. Recuperation-validation-adaptation-scaling
Recommendations – Policy & strategic focus

1. Formulate a strategic approach with a focus on institutional frameworks for R&I

Implementation

- Clear statement and better implement division of labour with RTD
- Strategic focus on assisting partner governments to formulate national S&T policies and establish innovation systems
- Capacity building of ROs

2. At national level, develop a strategy for R&I that adapts support provided to the needs and level of development of partner countries

Past experience provides a basis for a rough typology of 3 stages of different types of support

1. Laying the foundations primarily through sectoral funding – with poorer countries
2. Building up the infrastructure / developing a national S&T policy – with somewhat more developed countries
3. Supporting international cooperation in R&I – DGs RTD and DEVCO work jointly – graduating countries

(Details in Table 7)
## A strategy adapted to varying needs (Table 7)

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<tr>
<th>Type of partner country</th>
<th>R&amp;I Strategy Components</th>
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| Poor developing countries | Laying the Foundations for R&I:  
   - Individual capacity building for researchers;  
   - Institutional development with sectoral research institutes;  
   - Funding of R&I as part of sector support programmes;  
   - Policy dialogue with governments on extending support to R&I;  
   - EUDs designate a person with responsibility for identifying opportunities to support R&I. |
| More advanced developing countries | Building up the Infrastructure for R&I:  
   - Targeted individual capacity development linked to research organisations;  
   - Developing a national S&T policy;  
   - Establishing national innovation systems and institutional framework;  
   - Funding of research through national agencies such as research councils;  
   - Develop support to capitalisation with DG RTD;  
   - EUD person with responsibility for R&I policy dialogue with government. |
| Graduating countries (Fully graduated countries would normally be the responsibility of DG RTD) | Supporting International co-operation in R&I:  
   - DEVCO support for institutional capacity development;  
   - Encouraging uptake of DG RTD calls;  
   - Further support to national S&T policy development;  
   - Strengthening national innovation systems and support to capitalisation;  
   - Close DEVCO-RTD co-operation and joint programming;  
   - EUD DEVCO staff for R&I and established link with an RTD S&T Counsellor. |
## Recommendations – Operational approach

### Implementation

1. Networks – to support research & knowledge flows
2. Capacity – individual, institutional, infrastructural
3. Partners – at all 3 levels: global, regional & national
4. Policy dialogue – ownership + coordination with RTD
5. Funding of research – important till alternatives exist
6. Capitalisation of results – so far inadequate attention
7. National Innovation Systems – as core of new strategy

### DG DEVCO support should focus on seven principal elements

- Use instruments & modalities that suit the needs of R&I
- Review use of instruments and modalities in terms of impact they have on research
- Analyse difficulties partners have with modalities
- Use modalities that suit
  - Longer time frames of research
  - Capacities of partners
## Recommendations - Complementarity

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<th>Recommendation</th>
<th>Implementation</th>
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<td>5. Ensure adequate human resource capacities for support to R&amp;I</td>
<td>• Staff to handle overall R&amp;I policy not just each sector</td>
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<td>• Adequate capacity to coordinate closely with RTD</td>
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<td>• EUDs should have a designated R&amp;I official</td>
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<td>• RTD should reevaluate plans to cut S&amp;T Counsellors</td>
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<td>6. Consolidate and implement an explicit division of labour with DG RTD</td>
<td>• Ensure division of labour is clear and carried out at all levels</td>
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<td>• DEVCO should review all RTD calls at design stage and consider development value</td>
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<td>7. Maintain the political &amp; practical commitment to promoting PCD</td>
<td>• Continue to use existing PCD tools</td>
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<td>• Deepened dialogue with partner countries to see how to promote PCD</td>
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<td>• Review incentive structure in RTD for INCO work</td>
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Recommendations – Results

**Take more deliberate and systematic steps to foster results**
- Clearer policy on support to R&I with greater focus will also help foster results
- Promote establishment of national innovation systems to provide more conducive context

**Develop a clear strategy for the transfer of results**
- Ensure this strategy is taken up by EUDs and project implementers
- Promoting innovation for development should be principal objective for supporting R&I

**Provide explicit support to the capitalisation of results**
- Set aside supplementary funds specifically for this
- Consider establishing a system for the collection of results so they can be retrieved and systematised
- Individual capacity building should include practical issues on innovation: IPR, raising venture capital, marketing, etc.

**Build a visibility strategy on a stated commitment to R&I support**
- Formulate a clear statement of intent
- Liaise closely with EEAS and RTD to ensure respective role are clear for communication
- Develop a communication strategy that takes in HQ and EUDs together
Thank you for your attention

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