



Executive Summary of the ATPS Phase VI Mid-Term Evaluation

Evaluation Period: 1 January 2009 – 31 December 2010

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Introduction: The African Technology Policy Studies Network (ATPS) is a multi-disciplinary network of researchers, private sector actors, policymakers and the civil society. ATPS has the vision to become the leading international centre of excellence and reference in science, technology and innovation systems research, training and capacity building, communication and sensitization, knowledge brokerage, policy advocacy and outreach in Africa. It has a Regional Secretariat in Nairobi Kenya, and operates through national chapters in 29 countries (including 27 in Africa and two Chapters in the United Kingdom and USA for Africans in the Diaspora) with an expansion plan to cover the entire continent by 2015.

ATPS Phase VI Strategic Plan: The ATPS Phase VI Strategic Plan aims to improve the understanding and functioning of science, technology and innovation (STI) processes and systems to strengthen the learning capacity, social responses, and governance of STI for addressing Africa's development challenges, with a specific focus on the Millennium Development Goals (MDGs). The Phase VI strategic plan focuses on three thematic and three cross-cutting strategic priorities and programmes as follows: A.1. Research/Research Capacity Building; A.2. International Cooperation and Partnerships (ICP); A.3. Youth and Gender Empowerment (YGE); C.1. Training and Sensitisation (T&S); C.2. Science Communication and Stakeholder Dialogue (SCSD), and, C.3. Outreach, Knowledge Brokerage and Policy Advocacy (OKBPA).

Mid-Term Evaluation Objectives and Scope: Built into ATPS Strategic Plan VI is a mid-term review to assess effectiveness and efficiency of the three thematic and three non-thematic programmes and institutional effectiveness for the period: January 1, 2009 to December 31, 2010. To that effect, ATPS has contracted a team of external evaluators to carry out the mid-term assessment based on the following three objectives and scope with the help of predefined indicators as contained in the Terms of Reference (ToR): a) **Project Effectiveness** measured by assessing the level of achievement of the expected project outputs and project outcomes; b) **Project efficiency** as assessed by a two stage process: i) **Institutional Evaluation**- designed to assess the management and accountability systems and effectiveness of resources (human and financial) inputs in the project implementation as per the approved Phase VI Strategic Plan proposal; and, ii) **Cost-Effectiveness Analyses** evaluated by assessing the cost-effectiveness and cost-benefit balance of the projects, as per expectations during the project proposal stage versus outputs and outcomes realized. Thirdly, c) **Strategic Evaluation**- to review current STI policy environment in Africa (and globally) to identify and recommend strategic priorities for the development of the ATPS Phase VII strategic priorities, 2013 – 2017.

Evaluation Strategy and Methodology: The evaluation methodology involved multiple quantitative and qualitative methods to assess the qualitative and

quantitative inputs (human resources, financial resources, time, etc.) into ATPS activities (both thematic and facilitative) and their tangible and intangible outputs, outcomes and impacts. The methods applied include: familiarization with ATPS programmes, systems, and processes; desk surveys and on site observations at the ATPS Regional Secretariat; focused discussion groups; and bilateral interviews with key stakeholders. The impressions of all ATPS stakeholders were captured using a structured on-line questionnaire, the link to which was sent through the ATPS *listserve* containing about 1,500 e-mail addresses of members, stakeholders and beneficiaries of the ATPS activities. There was also e-mail administration of the survey questionnaire, while others had the option to download the questionnaire and return completed copies by post or fax to the ATPS Secretariat. Two hundred and fourteen 214 responses were received from 30 countries and 3 continents (Africa, Europe and United States of America) representing the different ATPS stakeholders groups and the continents where the ATPS hosts National Chapters or Focal Points. The summary statistics of the questionnaire responses and respondents' comments on different questions are available in the appendix and derived observations about specific programmes are summarized below.

A.1. Research/Research Capacity Building: This programme is intended to strengthen institutional and individual capacity to carry out and use cutting edge research in inter-related STI processes and systems and their implications for achieving the millennium development goals (MDGs) in Africa.

Of the twelve (12) distinct research/research capacity programmes offered by ATPS and listed in the questionnaire, 27 respondents (18.62%)¹ had participated in the **Climate Sense Programme** small grants, 23(15.86%) in the **Climate Innovations Challenge** programme, while (8) 5.52% had participated in **The ATPS Collaborative Programme** with the university of Nigeria on building trans-disciplinary curriculum for climate change adaptation. Collectively, those who have participated in the ATPS climate change related research and innovation incubation plus training activities comprise 40.32% of total respondents. Other respondents included participants in the European Union (EU) funded collaborative project of **Science, Ethics and Technological Responsibilities in Developing and Emerging Countries (SETDEV)** (8.28%); **Agricultural Innovations Regional Programme** (10.34%); **Water and Environment Programme** (9.66%); **Intellectual Property Rights Programme** (7.59%); Linking **Universities Business, and Research and Agricultural iNnovation - UniBRAIN** (5.52%); **Health Innovations Programme** (2.27%); and **Research Methods/Training** (9.66%). Participants' responses indicated a high level of agreement that the intended outcomes of the research capacity activities had been met. They felt particularly strongly that participation in these projects and activities had 'improved [their] capacity to work in multi-disciplinary teams' (77%); their 'ability to engage in high quality Science, Technology

¹ These are the percentages of those respondents who had participated in one or more research or research capacity building activities.

and Innovation Policy research' (75%), and 'capacity to conduct innovative and policy relevant STI research' (75%), respectively². The lowest level of agreement (but still a mean score of 7.7 and a median of 8) related to the capacity to network with researchers in other African countries (70%). This reflects a general sense of satisfaction by the ATPS members and stakeholders that the ATPS research and research capacity building programme activities achieved their stated objectives as per the four key indicators used to assess impacts on members and stakeholders.

As regards **Grants Administration**, overall, there is a high level of satisfaction with the straightforwardness of the application process (76%), good feedback given by the ATPS on proposals (76%), and the transparency of decision making (74%). Many respondents agreed (73%) that: "experience with ATPS research grants has increased my confidence in applying for research funding from other sources". Of the six statements relating to grant administration (question 10), the highest numbers of top scores ('I agree completely') were given to "application process is straightforward" (22 out of 79 responses) and "experience with ATPS research grants has increased my confidence in applying for research funding from other sources" (25 out of 76). The lowest level of agreement (though still a median score of 8) was with 'Information on research grant opportunities is clear and easily accessible'. The "Decision making process is transparent" also achieved a high score (media 9, mean 8.08/11). On the whole, the mean score for all the six criteria to assess the effectiveness and efficiency of ATPS' administration of its Phase VI research programmes grants was 8.09/11 (73.55%). This score suggests a high level of satisfaction by ATPS members and stakeholders (74%) regarding the process of administration of the ATPS research programme activities during the period of review, 2009 – 2010.

A.2. International Cooperation and Partnerships (ICP): This programme purposes to facilitate and strengthen regional and international cooperation and partnerships on related STI research and policy issues to assist in access to research environments and knowledge communities in other continents.

Of the 180 respondents who answered this part of the questionnaire, 101 (56.1%) said they had taken part in one or more ATPS international cooperation and/or partnership (ICP) activities. Majority (80; 48%) have participated in ATPS International Conferences and Workshops; 32 (20%) have participated in ATPS International Roundtable Discussions; 23 (14%) have participated in ATPS Institutional Partnerships and Collaborative Projects, 19 (12%) have participated in ATPS Participatory Dialogue On Global STI Policy Issues, while 10 (6%) have participated in ATPS Public-Private Partnership Programmes.

² Strength of agreement with statements is measured on an 11 point scale from 1 (disagree completely) to 11 (agree completely). Mean scores should therefore be viewed against a maximum possible score of 11. Percentages reported here are the mean score as a proportion of the maximum (11) expressed in percentage form.

The highest levels of agreement were with the statements that participation in ATPS ICP programme has enhanced the identification and prioritization of common research areas of mutual interest to African countries (mean score = 8.68/11 (79%)), and increased partnerships amongst African S&T institutions, government ministries and civil societies and with like-minded organizations globally (mean score 8.20/11 (75%)). The statement that the ICP programme had led to better regional integration achieved a mean score of 8.13/11 (74%) while “enhanced uptake and use of common identified research outcomes, technologies and innovations for addressing the MDGs in Africa” received the least score (7.97/11 (73%)). The overall mean score for the four assessment criteria used was 8.24/11 (75%). This indicates a high level of agreement amongst respondents and stakeholders that the ATPS ICP programme achieved the set objective.

A.3. Youth and Gender Empowerment (YGE): The YGE programme intends to support and strengthen the innovative capacity of youth and women to apply STI to relevant development policy issues in Africa through the African Youth Forum for Science and Technology (AYFST) and the African Women’s Forum for Science and Technology (AWFST). Thirty three respondents said they had taken part in any ATPS youth or women STI congresses, or youth / women entrepreneurship innovation challenge Programmes, science clubs supported by ATPS, or international internships supported by ATPS. Of these, 18 (55%) have participated in ATPS Youth and Women STI Congresses; 13 (39%) have participated in the ATPS Youth and Women Entrepreneurship Activities; and 15 (45%) have participated in the ATPS Small Grants Projects. Five (5) each have participated in the Science Clubs and International Internships supported by the ATPS. The highest level of agreement amongst the respondents was that participation in the ATPS Youth and Women programme activities increased awareness among youth/women on inter-related policy issues in agriculture, science and technology and the need for multi-disciplinary approaches in STI research and policy making (mean score = 9.08/11 (83%); media = 10). The scores for the rest of the four indicators used also show a high level of agreement that the participation in AYFST and AWFST programme activities: a) increased youth / women participation in STI research projects and other innovative and productive interventions at local, regional and national levels (mean score = 8.81/11 (80%)); b) enhanced youth/women skills / capacities in STI research and policy advocacy (mean score = 8.76/11 (80%)); and, c) provided ongoing opportunities for youth/women to exchange opinions (mean score = 8.59/11 (78%)). The overall mean score for all the four indicators of effectiveness used is 8.81/11 (83%). This suggests that the ATPS Phase VI Strategic Plan Youth and Women activities achieved a high level of effectiveness.

C.1. Training and Sensitisation (T&S): The T&S programme is designed to strengthen endogenous technical capacities to produce, use and govern sustainable technologies for achieving the MDGs in Africa. The questionnaires required

respondents to comment on their participation in any of the ATPS training and sensitization (T&S) events, including round tables for parliamentarians and policy makers, since January 2008. Twenty four (24), about 11.2% of the respondents reported that they had taken part in training events. We can assume that this excludes many who have participated in training as part of activities already covered in earlier questions. These respondents reported a high level of satisfaction with the outcome of the activities and their participation in them. They felt that participation had '*enhanced dissemination of STI policy research to policy makers and to stakeholders at the grassroots through the mass media*' (mean score = 9.19/11 (84%) and '*improved [their] capacity to communicate and use STI policy research*' (mean score = 9.60/11 (87%)). Both criteria had a median score of 10 on a 1 – 11 scale. The respondents also felt that the ATPS T&S activities '*increased the appreciation and appropriate use of STI policy in African development*' (mean score = 8.60, (78%), median = 9). For each of the three statements, the highest number of responses (mode) gave the maximum score of 11. With an overall mean score on 9.13/11 (83%), the responses suggest a high level of agreement that the ATPS Phase VI T&S programmes have been very effective in achieving their objectives. The 31 different examples given by respondents in response to an open question have a strong common theme, of increased confidence in engaging with policy makers and the mass media on STI issues and the strengthening of linkages between policy making and STI research.

C.2. Science Communication and Stakeholder Dialogue (SCSD). This programme facilitates and supports knowledge sharing on STI amongst key stakeholders for sustainable development in Africa. Participants were asked (question 28) if they have accessed the ATPS website (<http://www.atpsnet.org>) since 2009, and 143 (87.7%) out of the 163 respondents who answered this question said yes. Most of those who have accessed the *ATPS website see it as user friendly* (mean score = 8.57/11³, 78%, median score = 9 on a 1 to 11 scale) and as '*the most useful source of information on ATPS and on STI policy issues*' (mean score = 8.24/11, 75%, median score = 9). Also, when asked (question 29) if they have seen or heard any other media (television , radio, policy briefs, reports) reporting the activities of STI policy by ATPS, 96 (58.9%) out of 163 respondents said yes. Most also feel that '*ATPS does a good job in STI knowledge dissemination and outreach*' (mean score = 8.06/11, 73%, median score = 8). They were less sure that *coverage of STI issues and policy had increased since 2008 in the mass media*, with one in four (25% of the respondents) saying they 'did not know' and the others recording a mean score of 7.25 (66%) on a 1 to 11 scale; and most respondents feeling that *the profile of STI issues in the media in their country is 'weak'* (median score 7 on a 1 to

³The rating questions from 28 onwards included a 'Don't Know' response category. The online survey software treated this as 12th point on the 11 point scale and included it in the calculation of mean score and percentage scores. In this report, all mean, median and percentage scores have been recalculated omitting the 'Don't Know' responses. The spreadsheet containing these recalculations has been submitted to the ATPS Secretariat and is available for scrutiny.

11 scale, mean score = 6.86, 62%). Overall, the mean scores from the four indicators used to assess the outcomes of the ATPS STI stakeholder communication and dialogue programme was 8.03/11.

C.3. Outreach, Knowledge Brokerage and Policy Advocacy (OKBPA): The OKBPA programme promotes the integration of STI research and policy in African development planning and policy making processes. Eighteen respondents said that they had taken part in, or are members of, an STI Science Journalist forum or network, or ATPS-facilitated STI dialogues. Of these respondents, 46% have participated in an ATPS STI Science Journalists Forum or Network; while most of the rest (41%) participated in an ATPS STI dialogue or training programme. Those that had participated gave broadly positive answers on whether the intended outcomes of these activities had been reached: *'created a better appreciation of STI policy research by science journalists, policy makers and artists'* (mean score 8.53 (78%)), *'strengthened partnerships between researchers and policy makers in the STI policy process'*, (mean score 8.44, (76%)), *'sensitized leaders and policy makers on their leadership roles in promoting STI-led development' and, for themselves,* (mean score 8.56, (78%)), and *'enhanced [their] appreciation of STI policy research'* (mean score 9.47, (86%)). Median levels of agreement with these statements ranged from 9 to 10. With an overall mean score of 8.74/11 (80%), we conclude that the participating respondents agree that the ATPS Phase VI Outreach, Knowledge Brokerage, and Policy Advocacy achieved its targeted outcomes effectively. Specific examples in response to an open question (27) justified the scores in terms of the quality of the events as well as observable outcomes such as an improved understanding, by science journalists and others, of the policy making process.

Overall Assessment of the Efficiency and Effectiveness in Achieving the Expected Outcomes of the ATPS Phase VI Strategic Plan

The respondents rated the overall performance of the ATPS Phase VI Strategic Plan at 66% (mean score = 7.2 on a 1 to 11 scale) on the basis of 18 statements reflecting the intended outcomes. The respondents however recorded the highest agreement with the statements that *"Ability of African researchers to engage in high-quality peer reviewed STI policy research for African development has improved"*, due to the ATPS Phase VI Strategic Plan implementation activities since 2009, (mean score 7.76/11 (71%)), and *"Understanding of STI research and policy processes in Africa has been enhanced"* (mean score 7.95/11, (72%)). The 155 respondents who answered this question agreed that the ATPS has done well in all the 18 criteria used to assess its overall effectiveness and efficiency in achieving the expected outcomes of its Phase VI Strategy at its mid-term period, scoring it between 61% and 72% for each of the criteria. However, it is noted that the question regarding better use of STI policy in African development scored the lowest (mean = 6.68, 60.7%) suggesting that there is need for the ATPS do more in this area.

On average, the 155 responses received ranked the ATPS Phase VI implementation activities very highly in terms of *value for money / cost effectiveness in achieving stated research objectives* (mean score 7.99/11 (73%)); *relevance to national and global policy priorities*, (mean score 8.10/11 (74%)); *innovativeness and value addition* (mean score 8.02/11 (73%)); and *implementation effectiveness* (mean score 7.62/11 (69%)), respectively. The overall mean score on the four criteria used was (7.93/11 (72%)) suggesting a high level of agreement by the stakeholders that the overall performance of the ATPS Phase VI Strategic Plan programme is commendable.

The respondents however found the *value for money* criterion the most difficult on which to rank (with the highest number of 'don't know' answers); but the overall impression is that members and stakeholders are on average satisfied that ATPS has made good progress, at this mid-term stage, in meeting high standards of effectiveness and efficiency in implementing the strategic plan.

Assessing Institutional Effectiveness and Efficiency within and Amongst the ATPS Organizational Structures

The Board of Directors:

The respondents ranked the overall performance of the ATPS Board of Directors with regard to achieving its mandates for the ATPS at an average of 65% with the lowest rank given being 10% and the highest 100%. With a median of 70%, one can be fairly confident to conclude that the ATPS members and Stakeholders are fairly satisfied with the performance of the ATPS Board of Directors during the period of assessment, 2009 – 2010. Thirty eight of the Respondents responded that they "Don't know". Considering that the Board of Directors do not interact directly with all the ATPS Stakeholders, this is understandable.

With regard to three specific performance indicators, "supporting ATPS funds mobilization activities", "efficiency in providing strategic policy guidance to the ATPS", and "value addition and cost-effectiveness in the discharge of its statutory duties", the ATPS Board achieved mean scores of 7.34, 7.74 and 7.52 on a 1 to 11 scale, respectively. This reflects a 67%, 70%, and 68% performance rating on the three indicators used. The overall mean score was 7.5 (68.5%), which is consistent with the overall percentage score achieved in the question 34 above. This high level of consistency suggests that the respondents were very rigorous in their assessments.

The respondents recognized that the Board of Directors of the ATPS has improved significantly since 2006. In response to an open question, repeated mention was made regarding the appointment of new Board members from different skills and regional balance. On the list of what the stakeholders and members have also seen as an improvement in the Board of the Directors is the commencement of Board rotation to renew the Board membership, regularity of meetings and feedbacks to

members, increased professionalism, diversity of skills on the Board, transparency, efficiency, commitment, regional balance, organizational focus, openness, clear vision and mission, etc. As regards areas that the Board needs to improve on, the following recommendations were made by the respondents: a) enforcing tenure & rotation of Board members according to the Articles of Association (AoA); b) performance evaluation for Board of Directors; c) support for fundraising; and, d) policy compliance.

Regional Secretariat:

The respondents ranked the overall performance of the ATPS Regional Secretariat with regard to achieving its mandates for the ATPS at an average of 72% with the minimum rank being 10% and a maximum of 100% (question 38). With a median of 80%, one can be fairly confident to conclude that the ATPS members and stakeholders are very satisfied with the performance of the ATPS Regional Secretariat during the period of assessment, 2009 – 2010. Thirty two of the respondents found the question difficult to address and hence responded that they “Don’t know”. With regard to three specific performance indicators, “*supporting ATPS funds mobilization activities*”, “*efficiency in providing strategic policy guidance to the ATPS*”, and “*value addition and cost-effectiveness in the discharge of its statutory duties*”, the ATPS Secretariat achieved mean scores of 8.30, 8.37 and 8.26 on a 1 to 11 scale, respectively. This reflects a 73%, 74%, and 73% performance rating on the three indicators used. The overall mean score was 8.33 (73.33%), which is consistent with the overall percentage score achieved in question 38 above. This high level of consistency suggests that the respondents were very rigorous in their assessments. Generally, the responses to an open question comparing its performance now with 2006 suggest a high level of confidence that the ATPS Regional Secretariat today is much improved in its management procedure; stakeholder engagement; efficiency in delivery of services to the networks; fundraising; outputs from project and policy impacts; visibility; working with National Coordinators; number and skill of staff complement including the language mix (French and English); publicity; innovativeness; human relations; inclusiveness; IT support to members; timely response to members’ needs and enquiries; networking with various Governments, Ministries, agencies, international organizations; focus on relevant STI policy issues in Africa while playing key roles in global policy processes on emerging issues, support to institutionalizing ATPS in national systems, accountability, quality of service; transparency, follow-up and support to members and stakeholders, fair allocation of resources; achieving set targets, support to national chapters, improved staff training, participatory monitoring and evaluation (M&E), etc.

Regarding the Secretariat management, the respondents also feel that this has improved significantly. Some of the verbatim responses from the survey regarding top management of the Regional Secretariat are quoted below:

“The appointment of the current ED was a wise choice by the Board. He is fully committed to the cause of STI capacity strengthening in Africa and has the necessary skills and international networks to draw on. His participatory management skills have also improved a common ownership of the vision and mission of the Network among members. This is a great strength of the Network”.

“The current Executive Director's style of management is more participatory, hence empowering other members of staff to take initiatives. The ED's international profile, existing networks and expertise in the new areas of trans-disciplinary systems research and sustainability studies is an obvious advantage for the network”.

“ The staff complement at the Regional secretariat has improved significantly enabling the network to increase its funding and also implement various programmes. The ATPS research programmes have increased significantly both in numbers, quality and relevance”.

“The funding available to the Network has improved significantly and more and more activities and research programmes are being mounted by the ATPS”.

“Engagement with Policymakers, Private Sector and Journalists has increases significantly”. .

One respondent also had a negative comment regarding the present Regional Secretariat Management: “Stopped paying the little honoraria that used to be paid to the National Coordinators for coordinating ATPS activities in the countries”. Another respondent also noted that: “The francophone chapters are marginalized...” “Mobilising adequate financial resources from African institutions and governments is missing”. Whilst these comments are in the minority, it is important to take them into consideration in furthering the capacity strengthening efforts of the Regional Secretariat.

As regards recommendations to strengthen the Regional Secretariat, respondents made the suggestions: a) Reduce Staff Work Load; b) Improve Board Effectiveness to avoid redundant work; c) Improve Reporting Process; d) Improve Funding.

National Chapter Coordinators

With regard to four specific performance indicators, “*supporting mobilization of funds for the ATPS activities*”, “*efficiency in providing strategic policy guidance to the ATPS*”, “*value addition and cost-effectiveness in the discharge of their statutory duties*”; and “*timeliness and efficiency of disseminating information to national chapter members*”, the ATPS National Chapter Coordinators achieved mean scores of 6.78, 7.09, 7.16, and 7.24 on a 1 to 11 scale, respectively. This reflects a 62%, 64%, 65% and 66% performance rating on the four indicators used. The overall mean score was 7.1 (64.2%), which is slightly above the overall percentage score

achieved in question 42 on the overall rating of their performance (61%). There were high levels of “Don’t Know” responses especially with regard to the question on support for fundraising for ATPS activities.

Overall, the responses to an open question (44) suggest significant improvements in the functionality of ATPS national coordination, including the fact that the National Chapters now engage more proactively with ATPS activities, such as, participation in meetings and also in Coordination and Supervision of thematic programmes. Respondents also believe that the formation of the Regional Council has strengthened peer pressure and regional coordination of national coordinators’ activities, devolving the responsibility from the Regional Secretariat. It is noted from the comments that the appointment of new National Coordinators at some old Chapters and the six newly established chapters seem to have created a great deal of enthusiasm and increased activity of the Chapters. This clearly points out the need to have new and, if possible, young bloods in the system by rotating the National Coordinator position according to the requirements of ATPS AoA. As regards recommendations to strengthen the National Chapter Coordination, respondents made the suggestions: a) term limit for National Coordinators; b) active local fund raising at the chapter levels; c) paying special attention on how to expand ATPS programmes in the Francophone Regions.

Respondents Assessment of Benefits of ATPS Membership and Partnership:

The responses of the ATPS members and stakeholders on the main benefits from being a member and/or partner of ATPS (questions 46, 47), the responses include: a) access to funding; b) participation in ATPS conferences and programmes; c) network of global scientific community of common interests; d) personal development in trans-boundary research; e) benefits of institutional partnership with ATPS.

Evaluation Team’s Assessment of Overall Performance of ATPS within the Period Assessed

Terms of Reference 1: Effectiveness of Programmes:

It is the assessment of the evaluation team that under all six strategic goals, very good progress has been made towards planned outputs and outcomes. This is evidenced by key performance indicators (KPIs) generated from desk review, ratings from the survey respondents, and the themes that run through the focused group discussions.

Terms of Reference 2: Institutional and Programme Cost Effectiveness:

1) Institutional Effectiveness:

Our assessment of institutional effectiveness suggests that adequate management frameworks are in place and are being used effectively and transparently. Also technical and financial accounting mechanisms are being followed in accordance with grant agreements and with global good practice. This is evidenced by key performance indicators (KPIs) generated from desk review.

2) Programme Cost Effectiveness:

Our assessment of cost-effectiveness of execution of programmes shows that organisational structure is efficient, delivering high quality, relevant research at relatively low cost by international standards. The evidence includes KPIs from desk review: administrative costs to programme cost ratio has fallen steadily, to around 10%; average size of research grants is modest, without compromising quality. We also observed that there is high level of *pro bono* input by ATPS members.

Terms of Reference 3: ATPS Programmes Strategic Evaluation:

Our observations on the strategic relevance of ATPS in STI issues in Africa and globally have been informed by the nature and number of current research activities, bilateral agreements, partnerships, and stakeholders. Our observations are also informed by the results of the survey and events that transpired at the recently concluded ATPS conference and Annual General Meeting (AGM) in Mombasa. Based on these facts, we make the following observations on ATPS strategic positioning and relevance in Africa and globally:

- a) ATPS research and STI related activities are indeed unique and well aligned with STI issues and needs facing Africa and globally;
- b) The multi-disciplinary and trans-boundary nature of the research activities are creating a unique group of research scientists;
- c) The ATPS approach to research and STI issues is paving the way for the so called Third Generation University (3GU);
- d) Understanding this unique positioning, increasing number of international multilateral agencies are seeking partnership with ATPS currently listed at 20 (17 signed and 3 in advanced negotiation stage);
- e) ATPS is seeing an increasing level of funding commitments by Donor Partners. As a highly placed government official from the office of the Prime Minister of Kenya put it during the recently concluded ATPS 2011 Conference and AGM in Mombasa: *“ATPS is the organization to fund in this season because of the uniqueness of their activities and the relevance of their programmes in addressing contemporary African STI related-issues and their contribution to national development.”*

Evaluation Team Recommendations for ATPS Continued Growth and Effectiveness

1. On-going Reform of ATPS Administrative Structure to Continue:

The evaluation team applauds the on-going reforms that have taken place within the Board, Regional Secretariat, and at the National Chapter coordination levels. It is the opinion of the evaluation team that such reformation must continue until a fully functional corporate governance policy and practices are fully established and implemented across the ATPS governance structures. This will further strengthen the ATPS to achieve the vision of being the leading STI policy brokerage organization in Africa. Although training in corporate governance has been carried out for all sectors of ATPS leadership structure in recent time, we found some evidence that these systems have not yet been fully implemented effectively within all the governance structures of the organization,-especially at the Board and National chapter levels. Future training should emphasize practical application with exercises relevant to ATPS leadership structure from the Board to the National Chapter levels.

2. Training on Transformational Leadership - Leading a Change:

Though a subject of intense debate amongst economists and social scientists, it is generally agreed that cultural mindsets and attitudes could enhance and/or hinder organizational progress.^{4,5} ATPS' vision to become the leading international centre of excellence and reference in science, technology and innovation systems research, training and capacity building, communication and sensitization, knowledge brokerage, policy advocacy and outreach in Africa demands transformational leadership skills amongst its leaders from the Board members to the National Chapter Coordinators. To lead such a change, ATPS leaders must understand and avoid personal and cultural mindsets and value systems that hinder change, while embracing those that enhance it. It requires deliberate assessment of cultural, behavioural patterns that could hinder progress and the willingness to be recast into cultural and personal habits that make for progress.

3. Improvement of Relationship Amongst the Board, Secretariat, and National Chapters

The survey revealed that the highest numbers of "Don't know" responses were received for questions relating to the assessment of the effectiveness of the Board, National Chapter coordinators and the Regional Secretariat by the ATPS members and stakeholders. Although fewer 'don't know' responses were received for the assessment of the Regional Secretariat effectiveness, this suggests that a large number of ATPS members and stakeholders do not have effective communications and/or access to Board, National Chapter Coordinators and Regional Secretariat activities.

⁴ *Culture Matters* by Hutchinson and Harrison

⁵ *Buy the Future* by Mensa Otabil

Therefore, we recommend that effort be made to improve the implementation of ATPS communication strategy to improve on information flows amongst the ATPS management and the members. The results of the survey and the FGDs suggest that progress has been made during the past two years in this direction, but more could be done to ensure effective flow of pertinent information to members following ATPS communications channels.

4. Strategies for Increased Funding for National Chapters.

We noticed a big gap between the fundraising skills of the Regional Secretariat and those of the National Coordinators. In addition, we noticed some cases where funds successfully raised by the Secretariat and disbursed to some National Chapters were not followed up with timely progress and financial reports by some national chapters. We suggest that to improve the effectiveness of the National Coordinators in raising funds within their countries and regions, adequate training in relevant skills required for effective interactions with STI key policy players be conducted regularly for National Chapter coordinators and ATPS members. The ongoing training in grant writing should continue and be made continent-wide if funding permits.

Furthermore, we suggest that funding of National Chapters should be strategic such that capacity in a specific area of research is built which, with time, will lead to not only a strong research capacity in that area, but also strengthen academic programmes as well. For example, we noticed that a strong climate change programme is emerging at University of Nigeria Nsukka (UNN), with strong collaborations with Universities from neighbouring States. It is hoped that it would lead to a strong collaborative team in climate change research and ability to attract funding from the national and state governments.

5. Strategies to Increase National Government Buy-in and Support for STI

Translating STI research outcomes into policies requires a great deal of emotional intelligence, skills which are often lacking in the first and second generation universities. In the epoch of the science-based or 2GUs, governments were content with universities carrying out scientific research and providing scientific education. Now they desire to see universities as incubators of new science- or technology-based commercial activities, whether by existing firms or start-ups. Hence, governments demand that universities take an active and leading role in the exploitation of their knowledge and they are willing to make funds available to support such activities. Thus, for universities to gain the attention of national leadership they must become centers of excellence and explicit instruments of economic development in the knowledge-based economy. The universities must do this while working collaboratively with government departments, parastatals, and institutions and dedicated research establishments. ATPS should anticipate these shifting changes and devise programmes to assist both government and universities to relate effectively.

6. New Administrative Structures in Member Organizations to Sustain and Manage the Emerging STI Multidisciplinary Teams

Second Generation universities (2GU) tend to focus on pure science and often do not regard the application of their know-how as their task. In contrast, Third Generation Universities (3GUs) objectively stimulate techno-starters – students or academics – to pursue the exploitation or commercialisation of the knowledge they generate. They view this as being equal in importance to the objectives of scientific research and education.

Administratively, research in the Second Generation University (2GU) era was mainly mono-disciplinary and departments were structured along disciplines. The emerging interdisciplinary scientific teams with focus on specific research areas functionally work against the current mono-disciplinary faculty-based, administrative structure of 2GUs. For interdisciplinary teams, the current faculty system is an obstacle. There is a need for new organisational forms for university management that can create responsibilities for the task of know-how exploitation. ATPS must anticipate this and begin to strategize solutions for their member institutions to transition to 3GUs administrative structure, otherwise ATPS growth will plateau, and progress achieved so far may be stunted.

Respectfully Submitted

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