

EUROPEAN COMMISSION JOINT RESEARCH CENTRE
MINISTRY OF REGIONAL DEVELOPMENT AND INFRASTRUCTURE IN GEORGIA
TECHNICAL S3 WORKSHOP, 9 DECEMBER 2020

FROM DESIGNING A POLICY MIX TO MONITORING AND EVALUATION

CLAIRE NAUWELAERS, SCIENCE, TECHNOLOGY AND INNOVATION POLICY EXPERT



S3 INTERVENTION LOGIC

The **S3 intervention logic** is the link between:

- overall strategy goals, addressing country's key challenges
- specific goals = solutions to address bottlenecks or reap opportunities
- range of instruments : how they intend to contribute to goals



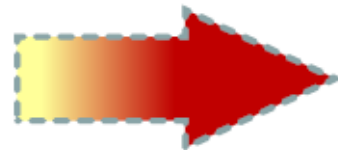
SIMPLE VIEW ON PRIORITIES AND POLICY INSTRUMENTS

INTERVENTION PRIORITIES

A) Developing collaboration and synergy between enterprises and between enterprises and scientific structures



B) Promoting investments by the enterprises in innovation and industrialisation of research results



C) Promoting the new innovative entrepreneurship



POLICY TOOLS

Collaborative R&D activities for the development of new sustainable technologies, new products and services (89% of Priority A budget – ERDF)

Economic valorization of innovation through the financing of the industrial application of research results (47% of Priority B budget - ERDF)

The creation and consolidation of innovative start-ups with intensive application of knowledge and research spin-off (79% of Priority C budget - ERDF)
Lifelong learning for the promotion and activation of cultural processes in terms of innovation in the enterprise (21 % of Priority C budget - ESF)

Example from Italy
Friuli Venezia Giulia

Presentation
at S3 Platform Peer
exchange and Learning
workshop, Vilnius 2018

QUESTIONS

- ❑ How would you articulate the broader goal for S3 in your country?
- ❑ What would be the most important specific goals for S3 in your country?



S3 POLICY MIX

The **‘S3-relevant policy mix’** is the combination of policies from various levels and various domains, which together contribute to the objectives and priorities set in the strategy

QUESTION

- What would be the key policy instruments to support S3 implementation in your country?



EXAMPLES OF KEY POLICY TOOLS FOR S3 IMPLEMENTATION

Focus on Research and development

OP RDE

Individual projects (national calls)

Horizontal

- Support of internationally competitive R&D (R&D Centers upgrade, strengthening of research teams)
- Popularisation of Science & Technology

Vertical

Competence centres (supporting projects of long term collaboration between business and R&D institutions in the area of vertical priorities)

Regional schemes

Horizontal

- Mobility schemes for triple-helix spheres
- Matchmaking events

Vertical

Summer schools of advanced technology

Focus on Innovation

OP EIC

Individual projects (national calls)

Horizontal

- Strengthening of R&D capacity of firms (labs)
- Projects of applied R&D
- Proof of concept

Vertical

- Innovation of a product or process in the area of vertical priorities
- Services of R&D infrastructures (S&T parks and incubators) for business in the area of vertical priorities

Regional schemes

Horizontal

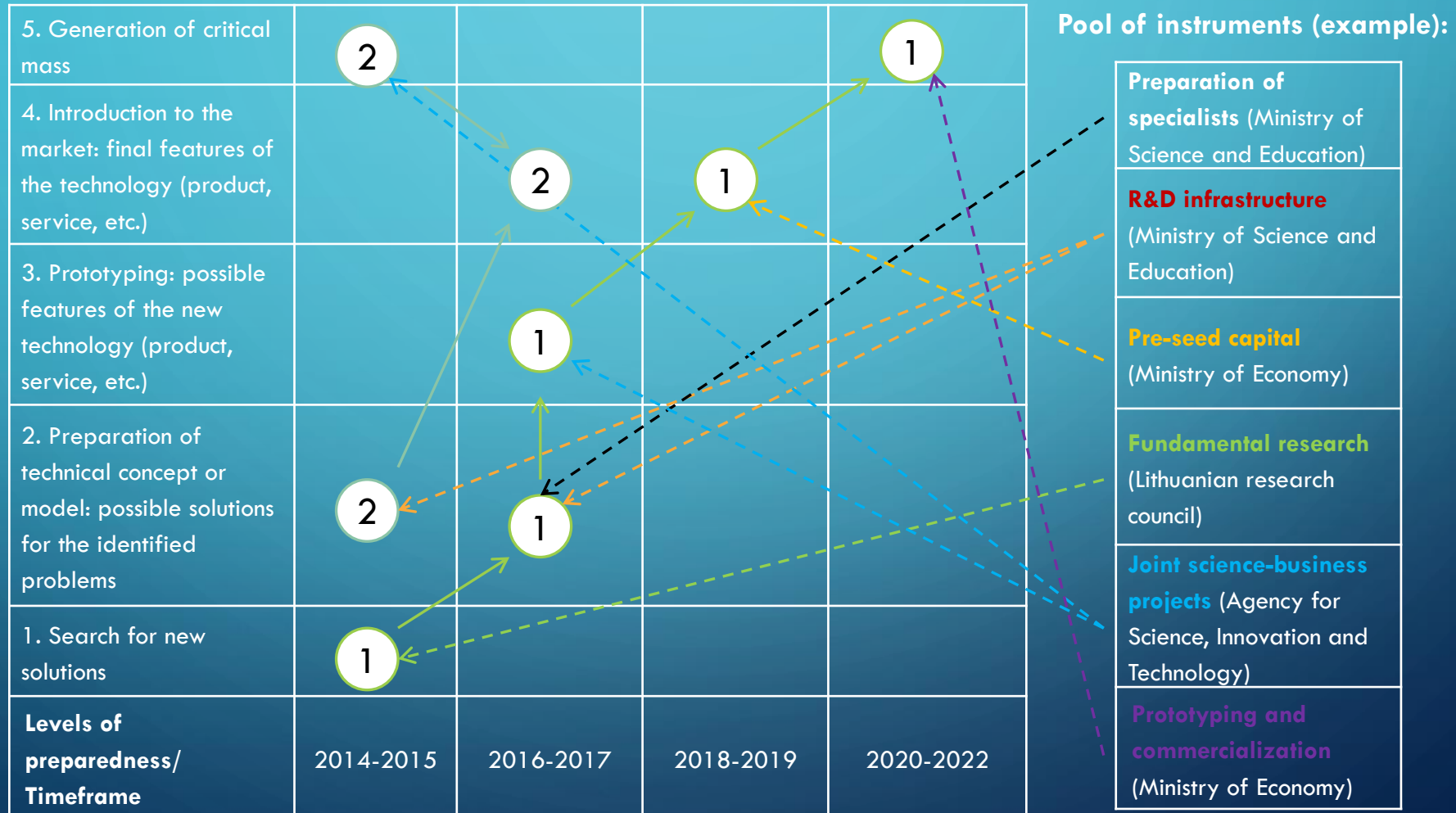
Innovation vouchers

Vertical

Innovation vouchers in the area of vertical priorities

Example from Czech Republic

THE RIGHT MIX OF POLICY INSTRUMENTS



Example from Lithuania

SELECTING FLAGSHIP S3 PROJECTS

1. Selection criteria:

- **Alignment with and contribution to S3**
- **Region/Country relevance**
- **Ambition: national or international dimension**
- **Viability-sustainability-appropriate funding mix**

2. Incorporating external views

3. Two-stage processes for submission

4. Robust monitoring mechanisms from start

5. Exit strategies (revision at mid-term and stop or go)

S3 POLICY MIX FOR SMES

Target of support	Form and focus of innovation support services for SMEs	
	Reactive tools providing inputs for innovation	Proactive tools focusing on learning to innovate
Global connections	Excellence poles Cross-border technology centres Funding for international R&D or innovation projects	International technology transfer schemes Mobility schemes Support for global networking of firms Cross-border innovation vouchers Lead market initiatives
Innovation system	Collective technology or innovation centres	Cluster policies Proactive brokers, match-makers Innovation vouchers Support for regional networking of firms Schemes acting on the culture of innovation
Individual Firms	Incubators with “hard” support Traditional “reactive” technology centres Seed and venture capital funds R&D subsidies or tax incentives	Management advice Incubators with “soft” support “Proactive” Technology centres Audits, monitoring of needs Innovation Coach Innovation management training Techno-economic intelligence schemes

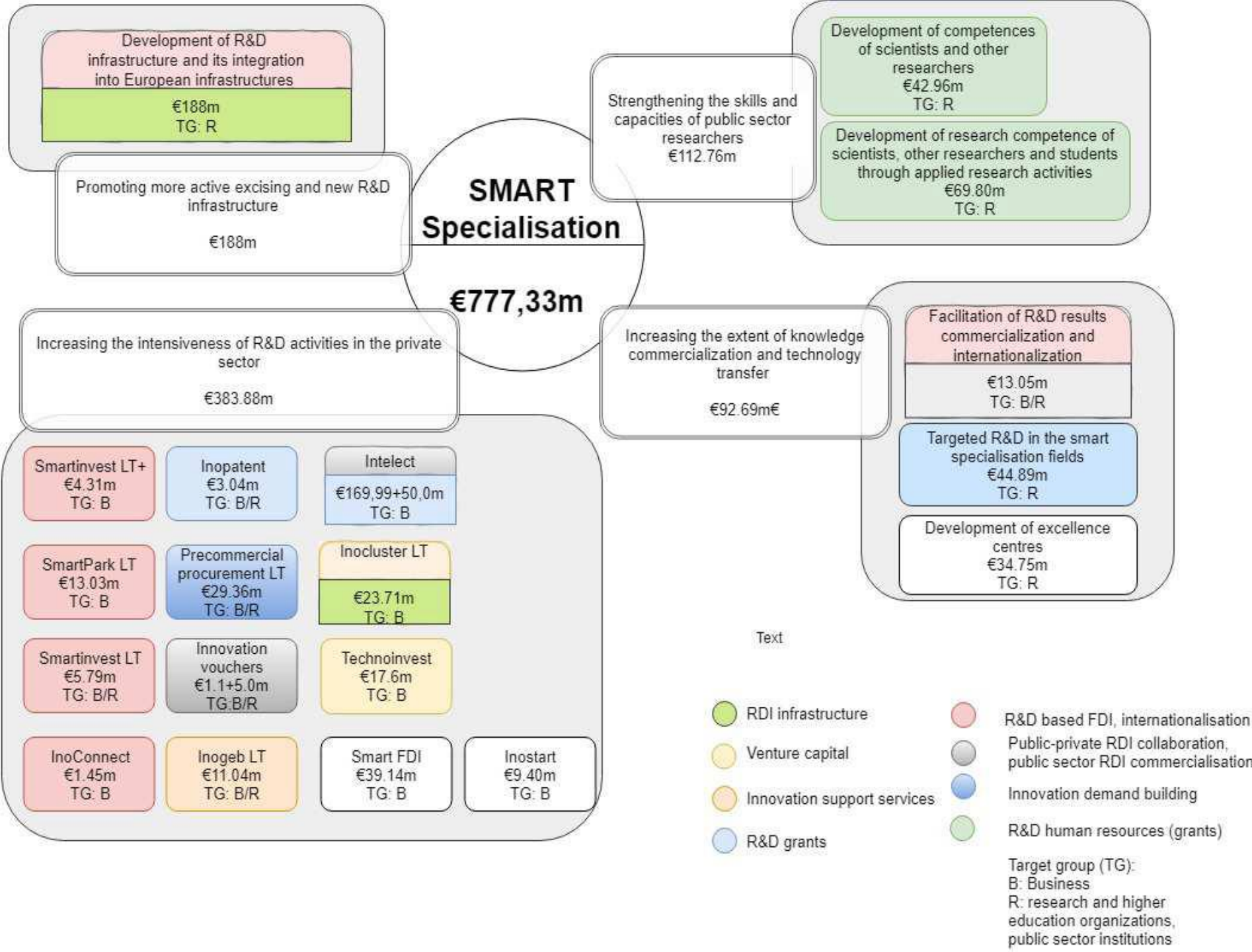
OECD (2011)
Regions and Innovation Policy

Structures	Funding programmes	Non-financial incentives
INSTRUMENTS TARGETING THE PUBLIC RESEARCH SECTOR		
Research and Technology organisations	Change in funding rules for HEIs and PROs to take into account work with industry	Reorienting public research towards the needs of industry
Technology Transfer Offices	Incentive schemes for start-ups	Rewarding work with industry in academic career paths and salaries
	Proof-of-concept schemes for HEIs/PROs	Engagement strategies of HEIs/PROs (third mission, IPR rules, student placements and entrepreneurship, sabbaticals in industry, etc.)
INSTRUMENTS TARGETING THE BUSINESS SECTOR		
Business advisory services, innovation centres acting as bridges to HEIs/PROs, and as matchmakers	Innovation/knowledge/R&D voucher schemes for SMEs	
Innovation Clusters	Support schemes for hiring researchers in companies, placement schemes	
INSTRUMENTS TARGETING THE INTERFACE BETWEEN THE TWO SECTORS		
PPP complex programmes (centres or networks) and joint research units	Funding programmes for collaborative research projects (generic, thematic)	Mechanisms and protocols for joint use of research infrastructure
Science and technology parks	Industrial PhD schemes	Involvement of businesses and HEIs/PROs in national/regional innovation strategies and platforms
	Sectoral mobility schemes for researchers	Engagement of industry in HEIs/PROs

POLICY MIX FOR SCIENCE-BUSINESS COOPERATION

DG Research and Innovation (2018) Policy Support Facility, *Mutual Learning Exercise on widening participation in FP and Strengthening synergies with ESIF*

S3 POLICY MIX IN LITHUANIA



Presentation MOSTA at S3 Platform Peer exchange and Learning workshop, Vilnius 2018

		CHALLENGE 1					CHALLENGE 2			CHALLENGE 3	
Nº	Instrumento	Enhancement-Sea	Aquaculture	Biomass and Marine Energies	Modernisation of Primary Sectors	Tourism-ICT	Diversification Driving Sectors	Industrial Sector Competitiveness	Boost Knowledge-based Economy	Active Ageing	Nutrition and Food
SME INNOVA	1	Sectorial Innov.	●			●					●
	2	Open Innov.	●	●	●	●	●	●	●	●	●
	3	Technological Vouchers				●	●	●	●		●
	4	Funding Vouchers	●	●	●	●	●	●	●	●	●
	5	Homologation/Certification	●	●	●	●	●	●	●	●	●
	6	Absorption Capacity Prom.	●	●	●	●	●	●	●	●	●
INNOVA IN GALICIA	7	Attraction Fund Centers	●	●	●		●		●	●	●
	8	Early Procurement			●					●	
	9	Demonstration Projects	●		●		●	●			●
	10	Mixed Units			●					●	
	11	H2020 complement	●	●	●			●	●	●	●
	12	Capital Mobilization	●	●	●	●	●	●	●	●	●
GALICIA TRANSFERS	13	Sc. & Tech. Contract Program	●	●	●	●	●	●	●	●	●
	14	Sc. & Tech. Investments	●	●	●	●	●	●	●	●	●
	15	Test concept				●	●	●	●		●
	16	Innov. Publ. Procurement								●	
	17	Industrial property				●	●	●	●		●
I E	18	Accelerator		●	●				●	●	
	19	Talent	●	●	●	●	●	●	●	●	●
	20	Technical Assistance	●	●	●	●	●	●	●	●	●

S3 POLICY MIX IN GALICIA

QUESTION

- ❑ Could you make one hypothesis about a problem in the policy mix in your country?

(Gaps in support? Duplications? Target groups underplayed? Some instruments not working well?...)



HOW DOES A RIS3 MONITORING SYSTEM LOOK LIKE?

S3 Objective	Detailed objective	Policy instrument	Owner	Input indicator	Output indicator	Result indicator	Context indicator
Strategic Objective 1	Sub-objective 1.1	Instrument A	Ministry X	Definition, source, frequency	Definition, source, frequency	Definition, source, frequency	At level of strategic objective
		Instrument B					
	Sub-objective 1.2	Instrument C	Ministry Y				
Strategic Objective 2	Sub-objective 2.1	Instrument D	Ministry Z	BY S3 Domain			At level of strategic objective and sub-objective
		Instrument A	Ministry X				
		Instrument E	Ministry Z				
	Sub-objective 2.2	Instrument F		Year 1			
		Instrument G		Year 3			
Sub-objective 2.3		Ministry X	Year 5				
Strategic Objective 3	Sub-objective 3.1	Instrument E	Agency X				At level of sub-objective
	Sub-objective 3.2	Instrument B	Ministry V				At level of sub-objective
		Instrument H					At level of sub-objective

INDICATORS FOR RIS3 MONITORING

➤ **Inputs**

Public money invested in each instrument

➤ **Outputs**

**Specific deliverables of the instrument – Short term –
Focus on beneficiaries**

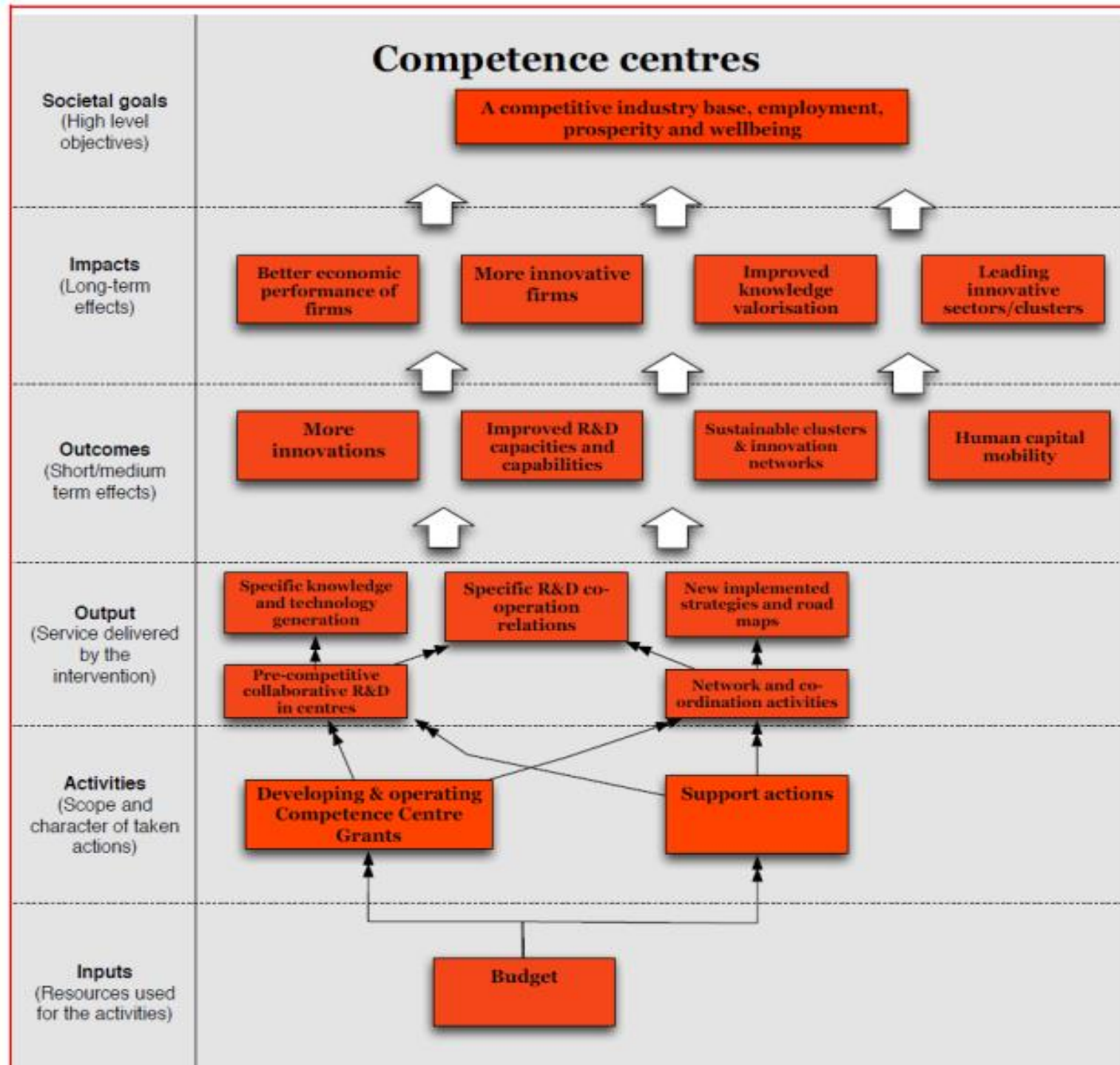
➤ **Results**

**Wider effects of the instrument - contribution to S3
objectives – medium term**

➤ **Context**

Macro evolution of relevant national/regional features

INDICATORS FOR COMPETENCE CENTRES

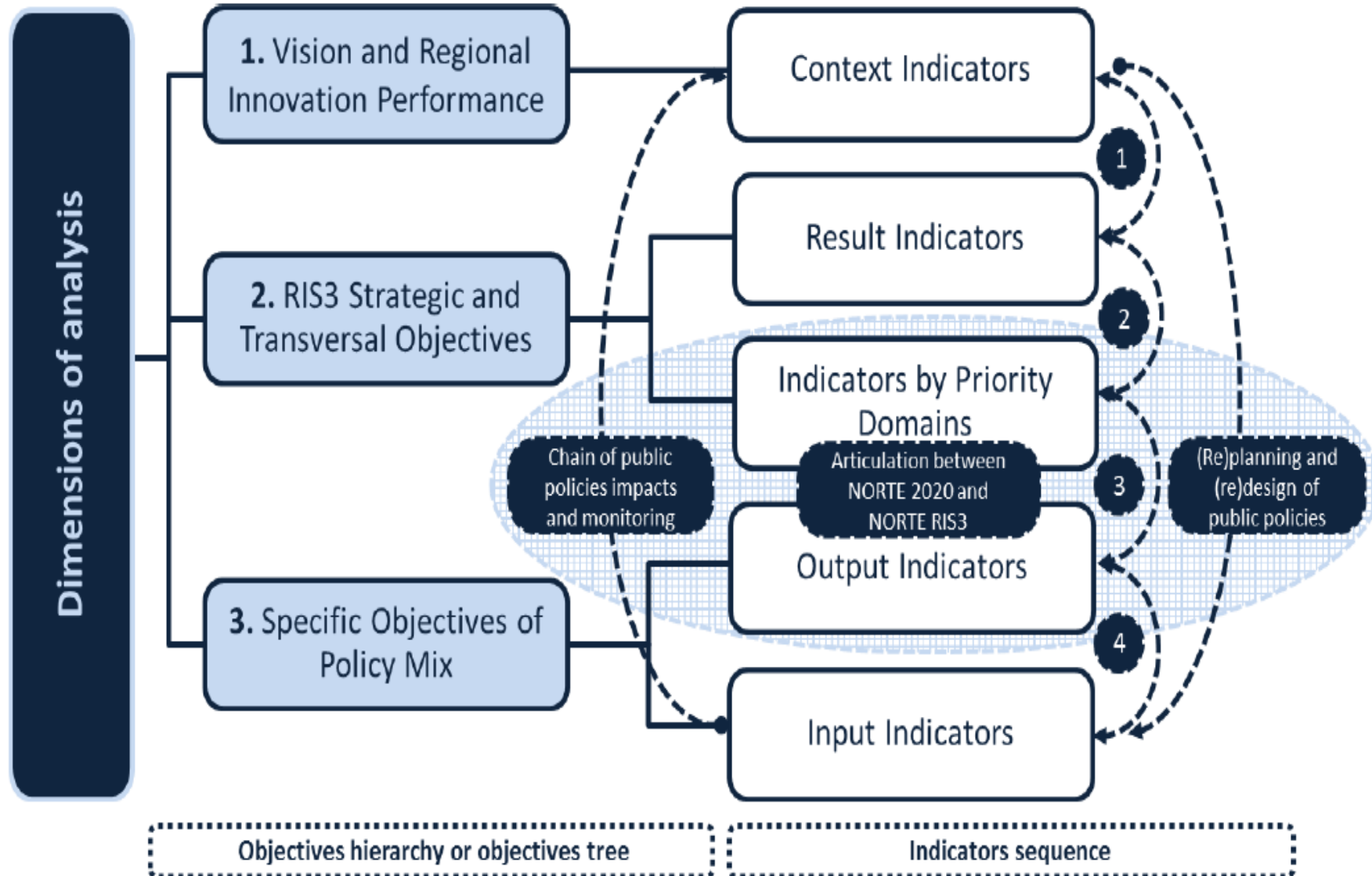


Technopolis (2015),
Measuring innovation
policy across Europe:
Common Indicator
Framework

PROPERTIES OF INDICATORS

- 1. Specific:** clear and shared definition – understandable - involving stakeholders, programme owners
- 2. Measurable,** linked to available data
- 3. Achievable,** cost effectiveness, surveys needed for outcome indicators
- 4. Relevant:** linked to the intervention logic
- 5. Time bound:** linked to clear timing for data collection
- 6. Manageable:** adequate number - Key indicators and secondary indicators
- 7. Associated** to baseline and target values (realistic!)
- 8. Dissaggregated by S3 domains**

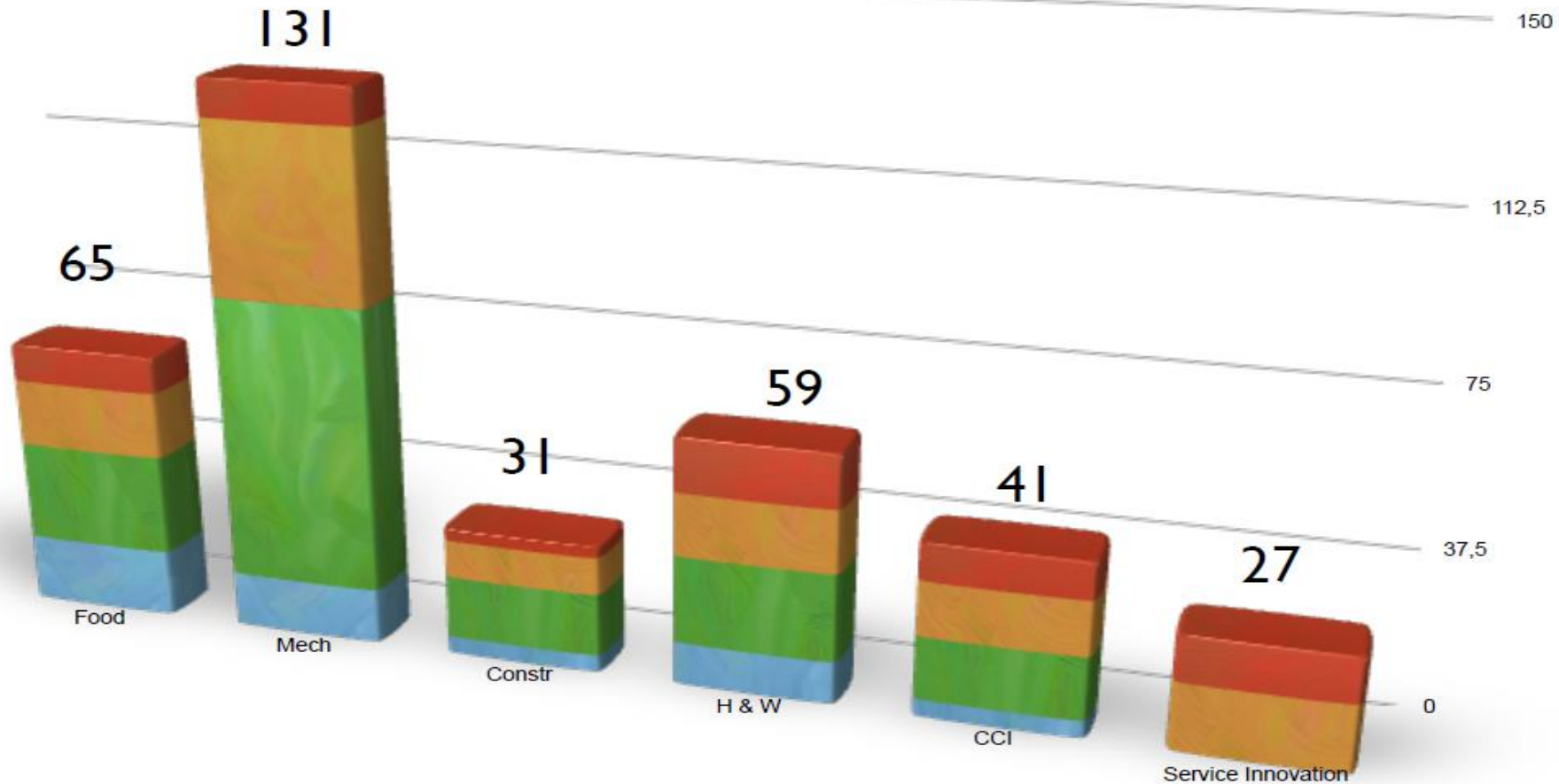
S3 MONITORING SYSTEM IN NORTE PORTUGAL



OUTPUT INDICATORS BY S3 DOMAIN IN EMILIA ROMAGNA

Projects approved

- High tech & creative start ups
- SMEs product/service innovation & diversification
- Business R&D Projects
- Strategic research projects



QUESTION

- What would be a key question to be addressed by a monitoring system for S3 in your country?



S3 IMPLEMENTATION KEY SUCCESS FACTORS

1. Formulation of explicit **intervention logic** of policies
2. Continued **political support** to strategic options
3. Appropriate **project selection** procedure in line with S3 goals and priorities
4. **Transnational learning** and intelligent peer reviews
5. **Private sector involvement** and funding: overarching “test” for S3 relevance
6. **Policy capacity**: importance of continuity and capitalization on knowledge
7. Role of communities of key innovation actors and “**project champions**” with large private sector involvement - **outward oriented**
8. **Feedback mechanism** between Monitoring and Evaluation and strategy /policy
mix definition: use of monitoring and evaluation as decision tools

S3 MONITORING KEY SUCCESS FACTORS

1. Clearly defined **ownership** - management of expectations –transparency - openness to changes
2. Policy-makers and policy owners involved in the design - continuous **political support over time** - high acceptability
3. **Well-resourced and legitimate** Monitoring body ensuring coordination and cooperation across system
4. Adequate **budget** secured over the long run
5. **Stability** over time and **flexibility** to adjust to changing circumstances
6. **Input, output, outcome/result and context** indicators - definitions aligned across the system
7. Indicators respond to all properties of **efficient** indicators + split by S3
8. Data analysis - policy-friendly and **policy-relevant** material - diffused widely