



EUROPEAN COMMISSION JOINT RESEARCH CENTRE  
MINISTRY OF REGIONAL DEVELOPMENT AND INFRASTRUCTURE IN GEORGIA  
TECHNICAL S3 WORKSHOP, 2 DECEMBER 2020

# FROM DESIGNING A POLICY MIX TO MONITORING AND EVALUATION

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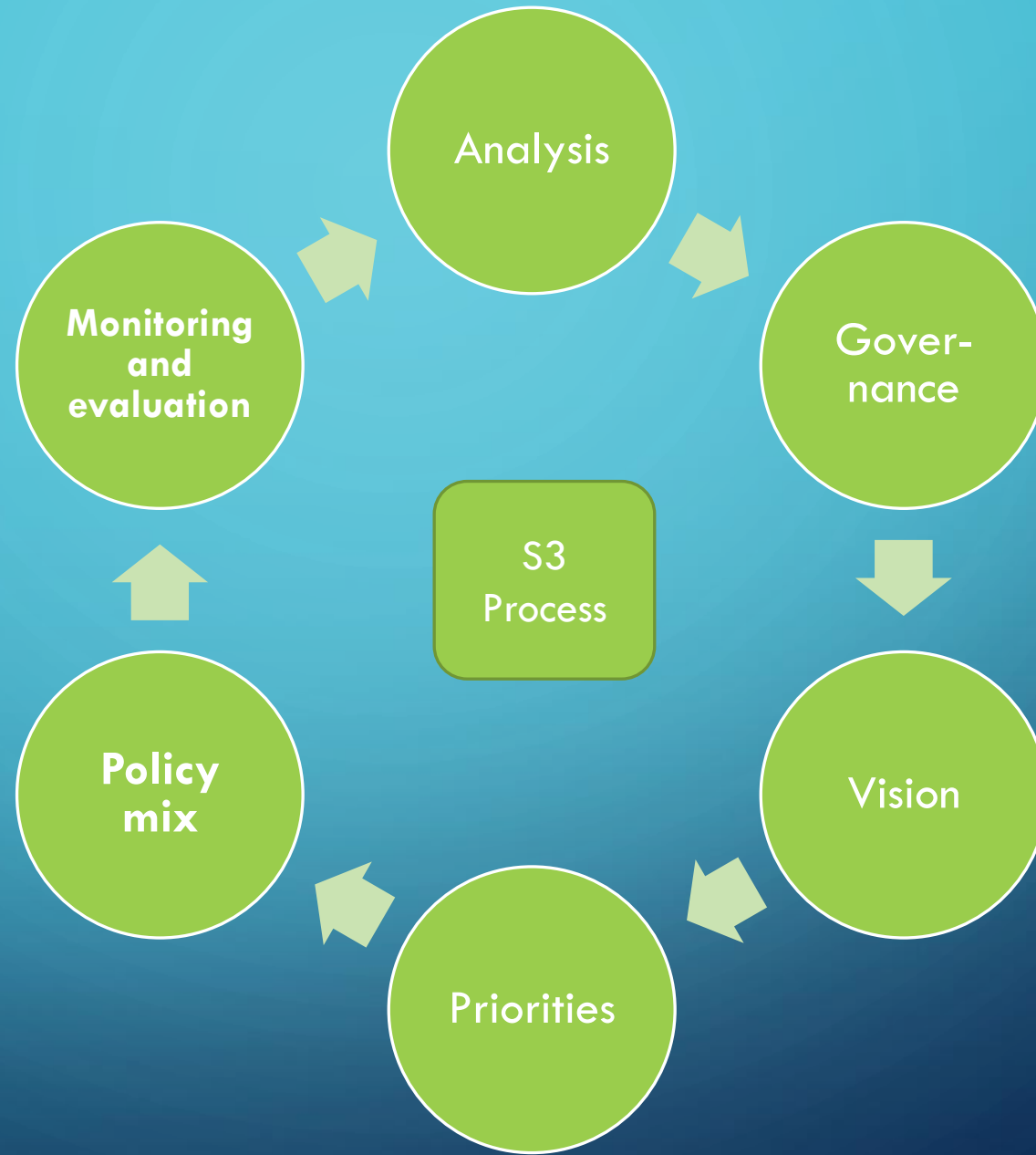
## S3: FROM GOOD IDEAS TO REALITY

*« One of the great mistakes is to judge policies and programmes by their intentions rather than by their results »*

Milton Friedman

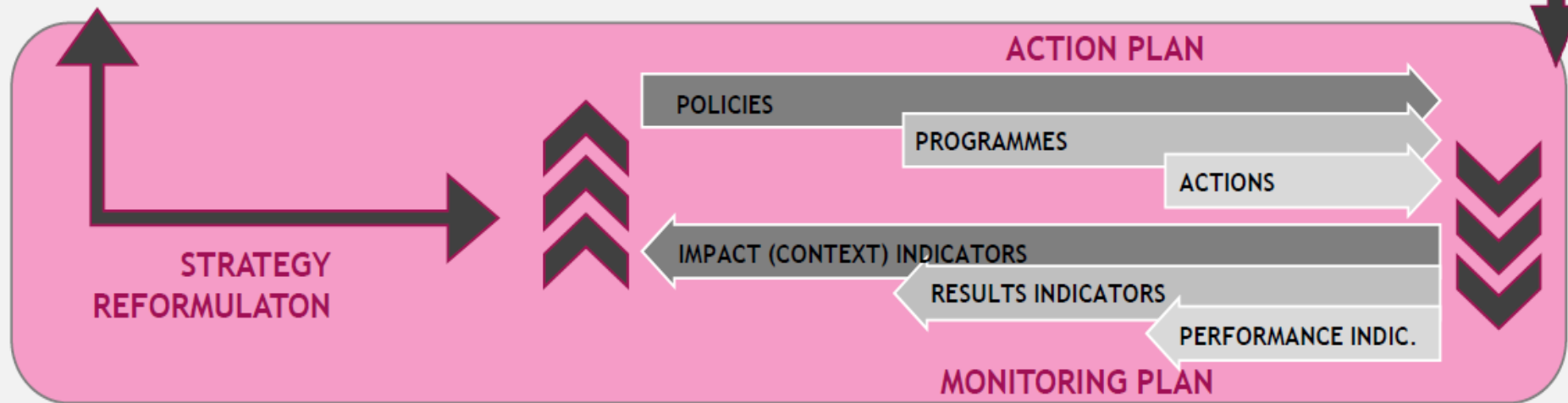
Data to inform on S3 implementation

The right instruments for S3 implementation



# THE FULL S3 POLICY CYCLE

## STRATEGY DEFINITION



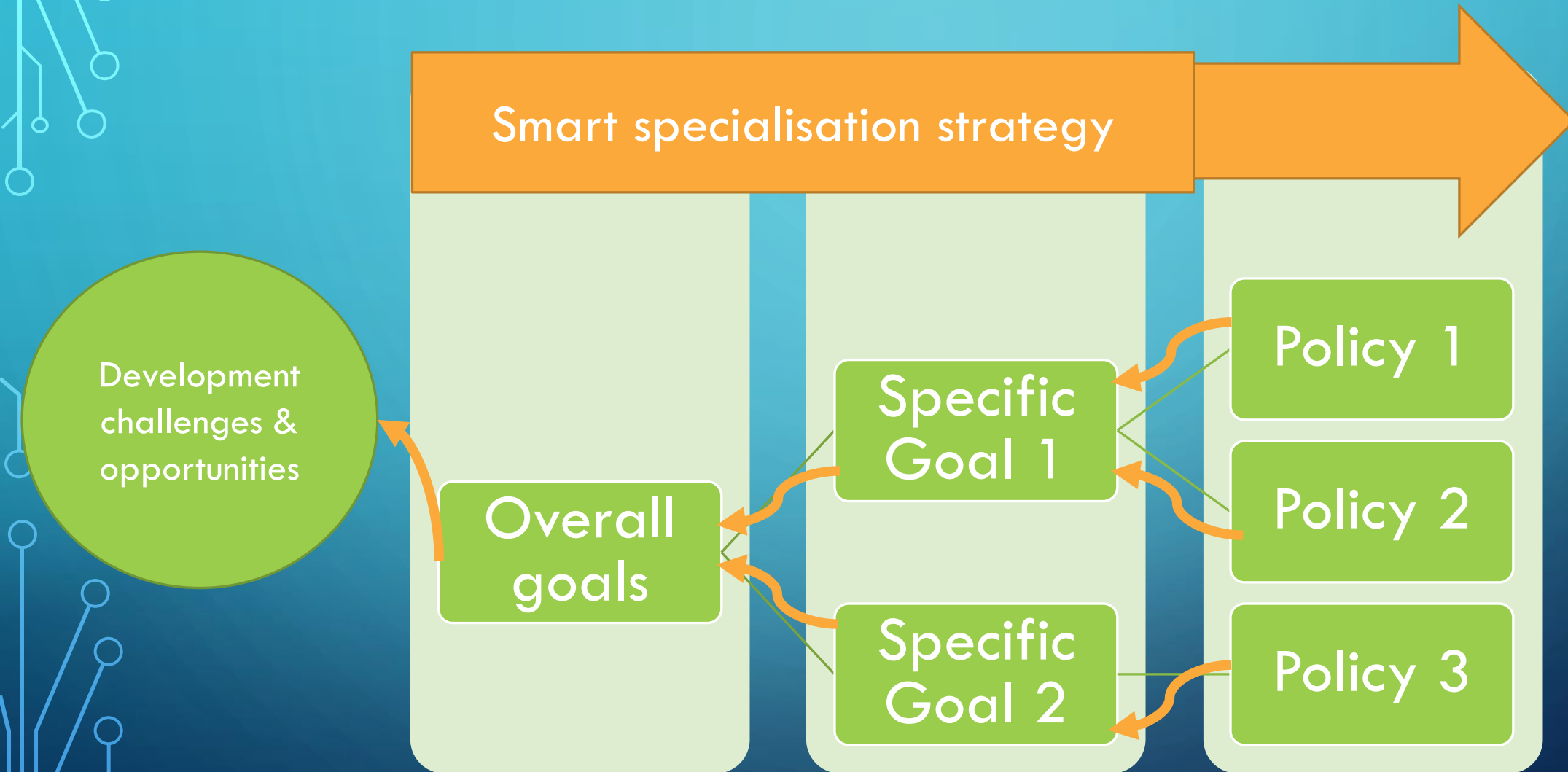
Example from Valencia, Spain

# 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

# S3 INTERVENTION LOGIC



# S3 INTERVENTION LOGIC IN MALTA



Source: Policy Support Facility:  
Monitoring the Maltese National  
Research and Innovation Strategy

# QUESTIONS

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



## 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

# A preliminary typology of policy instruments: 5 broad families

## The 'policy mix'

**1 FINANCIAL SUPPORT**

<p><b>Direct</b></p> <ul style="list-style-type: none"> <li>• Grants</li> <li>• Loans &amp; guarantees</li> <li>• Advances</li> <li>• Subsidies</li> <li>• Innovation vouchers</li> <li>• Venture capital</li> </ul>	<p><b>Indirect</b></p> <ul style="list-style-type: none"> <li>• Tax incentives</li> <li>• Income</li> <li>• Social charges</li> <li>• Assets and revenues</li> <li>• R&amp;D expenditures</li> </ul>
<p><b>Mixed</b></p> <ul style="list-style-type: none"> <li>• General</li> </ul>	

**2 NON FINANCIAL SUPPORT**

<p><b>Provision of services</b></p> <ul style="list-style-type: none"> <li>• Training (incl. IPRs)</li> <li>• Expertise</li> <li>• Networking support</li> <li>• Marketing</li> <li>• Information</li> </ul>	<p><b>Provision of staff</b></p> <ul style="list-style-type: none"> <li>• Creation of new permanent/temporary positions</li> <li>• Secondments</li> <li>• Mentorship</li> </ul>
<p><b>Provision of facilities</b></p> <ul style="list-style-type: none"> <li>• Labs, material, ICT</li> <li>• Housing, building</li> </ul>	<p><b>Provision of recognition/ visibility</b></p> <ul style="list-style-type: none"> <li>• Awards, prizes</li> <li>• Events, contests</li> <li>• Advertising</li> </ul>

**3 INFRASTRUCTURE PROVISION**

<p><b>Physical infrastructure</b></p> <ul style="list-style-type: none"> <li>• Structural investments</li> <li>• Public research infrastructures</li> <li>• HEIs infrastructures</li> <li>• Public information system</li> <li>• ICT and broadband</li> </ul>	<p><b>Networking infrastructure</b></p> <ul style="list-style-type: none"> <li>• Structural investments</li> <li>• Clusters, CoE</li> <li>• Technology platforms (incl. science parks, incubators etc.)</li> <li>• One-stop shop</li> <li>• Business channels</li> </ul>
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**4 PREFERENTIAL ACCESS TO MARKETS**

Public procurement	Others
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**5 PUBLIC REFORM**

<p><b>Central</b></p> <ul style="list-style-type: none"> <li>• National STI Strategy</li> <li>• Policy agenda</li> <li>• Laws (IPRs, immig. etc)</li> <li>• Civil servants' salaries, pensions schemes</li> <li>• Agency/ rationalisation</li> </ul>	<p><b>Regional Reform</b></p> <ul style="list-style-type: none"> <li>• Agencies</li> <li>• Multi-level contracts</li> </ul>
<p><b>Institutional</b></p> <ul style="list-style-type: none"> <li>• PRIs governance</li> <li>• HEIs governance</li> </ul>	
<p><b>Regulation</b></p> <ul style="list-style-type: none"> <li>• Pricing, consumer policies, standards</li> </ul>	

# Key policy instruments targeting S3 domains

<b>Traditional</b>	Dedicated institutes, competence centres devoted to the selected domains
	Thematic R&D and innovation programmes
	S3 Bonus systems in existing programmes
	Cluster policies
<b>A-typical</b>	Dedicated pilot and exploratory projects

# HOW DOES A S3 POLICY MIX LOOK LIKE?

S3 Objective	Detailed objective	Policy instrument	Owner
Strategic Objective 1	Sub-objective 1.1	Instrument A	Ministry X
		Instrument B	
	Sub-objective 1.2	Instrument C	Ministry Y
Strategic Objective 2	Sub-objective 2.1	Instrument D	Ministry Z
		Instrument A	Ministry X
		Instrument E	Ministry Z
	Sub-objective 2.2	Instrument F	Ministry X
	Sub-objective 2.3	Instrument G	
Strategic Objective 3	Sub-objective 3.1	Instrument E	Agency X
	Sub-objective 3.2	Instrument B	Ministry V
		Instrument H	

# QUESTION

- ❑ What are the key policy instruments to support S3 implementation in Georgia?

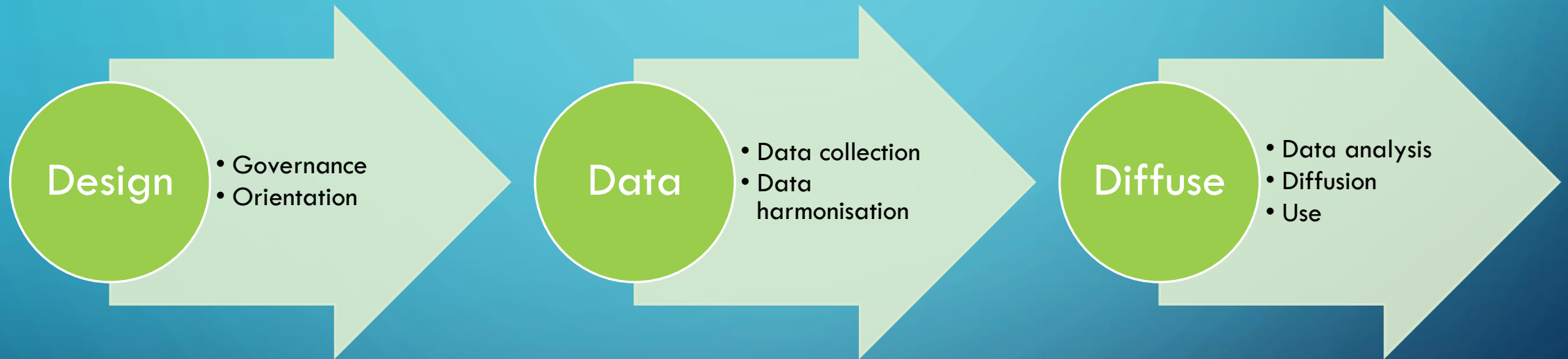
## S3 MONITORING SYSTEM: WHY?

Good evidence-based descriptions may tell inconvenient truth and challenge conventional wisdom or preconceived ideas

## S3 MONITORING SYSTEM: WHY?

1. To provide robust evidence for policy learning
2. Moving towards **outcome-based policy-making**
3. Creating shared expectations and common understanding of S3 through and for stakeholders' engagement

# S3 MONITORING SYSTEM: HOW?

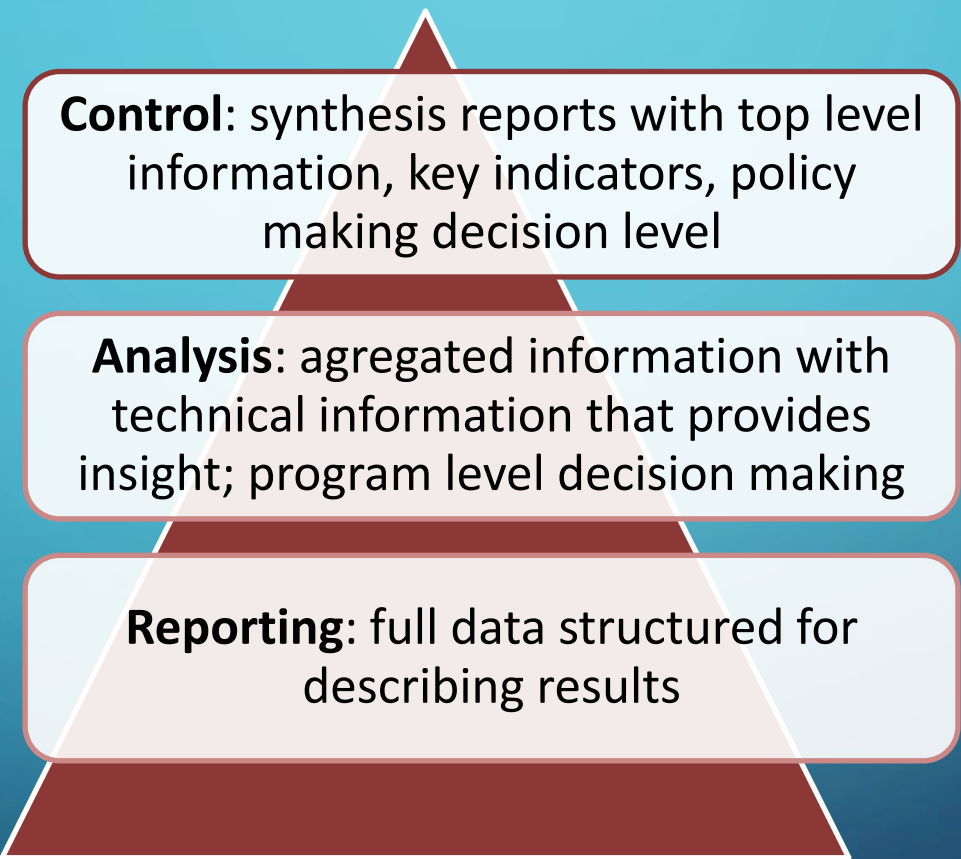




# HOW DOES A RIS3 MONITORING SYSTEM LOOK LIKE?

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	<b>BY S3 Domain</b>			At level of strategic objective and sub-objective
		Instrument A	Ministry X				
		Instrument E	Ministry Z				
	Sub-objective 2.2	Instrument F		<b>Year 1</b>			
		Instrument G		<b>Year 3</b>			
Sub-objective 2.3		Ministry X	<b>Year 5</b>				
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

# S3 MONITORING SYSTEM REPORTING

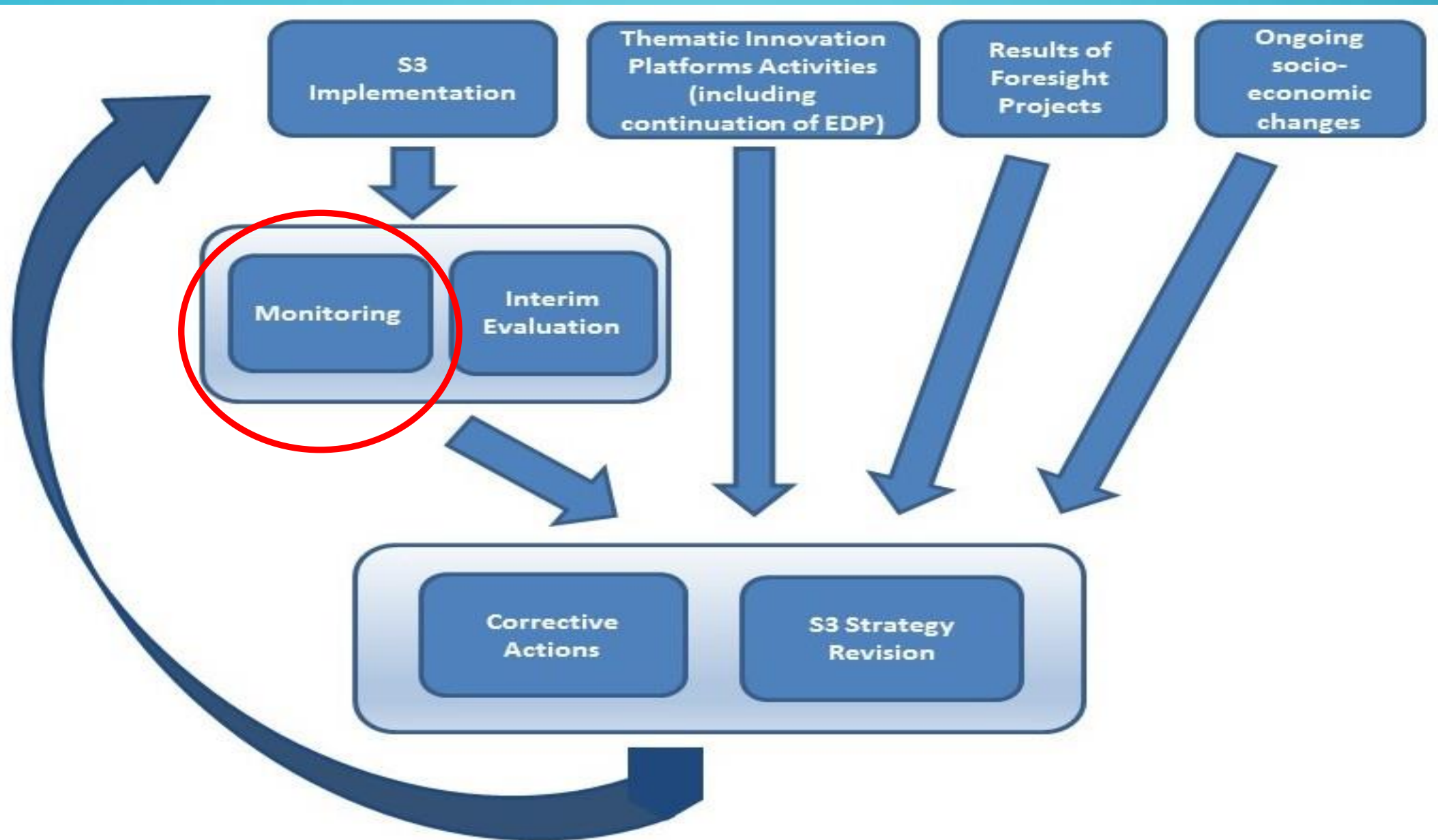


**Control:** synthesis reports with top level information, key indicators, policy making decision level

**Analysis:** aggregated information with technical information that provides insight; program level decision making

**Reporting:** full data structured for describing results

# THE ROLE OF S3 MONITORING SYSTEM IN CROATIA



# QUESTIONS

- ❑ What main benefits would you expect from a monitoring system for S3 in Georgia?
- ❑ What would be your main question to be addressed by such a system?

# MONITORING S3 MAY REVEAL PROBLEMS

- Inconsistencies in S3 Strategic Objectives structure
  - E.g. Strategic Objectives reflect « owner » rather than « goals »
  - Logic of intervention unclear
- Synergies between instruments not clear
- Multiple uncoordinated initiatives
- Sustainability of structures and efforts
- Missing pieces
- ...

## QUESTION

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

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

# SUGGESTED READINGS

- **Gianelle, C. and A. Kleibrink (2015), *Monitoring Mechanisms for Smart Specialisation Strategies*, S3 Policy Brief Series No. 13/2015**
- **Nauwelaers, C., Periañez Forte, I. and I. Midtkandal (2014), *RIS3 Implementation and Policy Mixes*, JRC Technical report, 10/2014**
- **Nauwelaers, C. and C. Eugenia Garcia (2016), *Monitoring the Maltese National Research and Innovation Strategy*, Horizon 2020 Policy Support Facility, Directorate-General for Research and Innovation**