

## "MAKING MONITORING AND EVALUATION OF INNOVATION PROGRAMMES A COMPETITIVENESS TOOL "

BRUSSELS –5 JULY 2005  
CENTRE A. BORSCHETTE – ROOM 1-D

### RATIONALE

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The European Commission has been, since the Lisbon summit, focusing increasingly on putting innovation and competitiveness at the heart of EU's priorities.

Wim Kok's mid-term evaluation report and the recently published Innovation Scoreboards, have shown that the current levels of innovation and competitiveness in Europe are not sufficient. A shift in the current strategies to foster innovation is now highly recommended.

#### *Evaluation in the field of Innovation is increasingly necessary*

One particular requirement is the need to enhance the effectiveness and impact of publicly funded innovation support. Appropriate evaluation processes are thus required for examining the achievements of innovation programmes, initiatives and policies. These should feed into a learning process allowing continual improvement of innovation-oriented actions.

#### *Evaluation in the field of Innovation is a complex process*

But evaluation in the field of Innovation is a complex process, for several reasons.

First of all, innovation is a broad, systemic and subtle phenomenon. Impacts of innovation programmes and outcomes are even harder to measure than those of more limited research and development programmes.

Secondly, many policies that are not explicitly labelled innovation policies may facilitate the diffusion of innovation (others may even hinder innovation, or bias it in specific directions). Moreover, innovation is diverse and pervasive (see the **Innovation Tomorrow** report - Innovation papers No 28

European Commission DG Enterprise) and innovation is itself constantly changing (in how it is organised, what sorts of knowledge is used to create what sorts of products, processes or behaviours). While innovation is both a buzzword and a very real underpinning of entrepreneurship and competitiveness, the isolation and evaluation of the results of innovation programmes or projects can be very challenging.

#### *Evaluation in the field of Innovation is a diverse process in Europe*

Innovation policy is generally recognised to be vitally important, but few countries in Europe have developed an evaluation practice with respect to innovation policies and programmes. There are several practical and institutional obstacles that underpin this resistance. Also, evaluation is a sensitive process where psychological barriers are important. However, progress can and should be made, and the exchange of experience about good practice is a step in this direction. Enhancing the evaluation culture is a first step - and a major step - in facilitating the implementation of evaluation policies.

#### *Evaluation in the field of Innovation needs to be strongly promoted*

Establishing more of an evaluation culture is necessary to promote more systematic evaluation of innovation programmes – and to make sure that the lessons of evaluations are learned and built into policymaking. It is essential to raise the awareness of decision makers as to the rationale for, and benefits from, evaluation.

Building an evaluation culture does not simply mean that audits of programmes have to be undertaken on a regular basis.

The evaluation process has to become a learning process – one that helps align stakeholder interests and incentives, improves coordination of the actors of the innovation system, and increases the value added achieved from interventions into the innovation system.

#### WORKING DEFINITIONS OF KEY TERMS

➡ **INNOVATION PROGRAMMES** ARE MEASURES, SCHEMES, INITIATIVES, ETC. FUNDED BY (ANY LEVEL OF) GOVERNMENT, AIMED AT THE PROMOTION, SUPPORT OR STIMULATION OF INNOVATION AND INNOVATION-RELATED ACTIVITIES. THEY MAY OPERATE EITHER DIRECTLY, THROUGH THE PROVISION OF FUNDING, INFORMATION OR OTHER SUPPORT; OR INDIRECTLY, THROUGH FACILITATION OF THE INNOVATION PROCESS (I.E. VIA FISCAL OR REGULATORY REFORM). NOTE THAT SOME INNOVATION PROGRAMMES MAY HAVE INNOVATION AS A SECONDARY OBJECTIVE, OR AS A MEANS TO AN END SUCH AS GREATER ENERGY EFFICIENCY, OR REGIONAL DEVELOPMENT.

➡ **EVALUATION** IS DEFINED AS SYSTEMATIC ASSESSMENT OF A PROGRAMME TO DETERMINE (1) HOW FAR IT IS MEETING OBJECTIVES (AND, PERHAPS, ACHIEVING OTHER EFFECTS), (2) WHETHER IT IS MEETING THESE OBJECTIVES EFFICIENTLY AND EFFECTIVELY), AND (3) HOW THE MANAGEMENT STRUCTURES (AND OTHER FACTORS) HAVE SHAPED THESE RESULTS. EVALUATION MAY BE EX ANTE, MONITORING, EX POST, ETC.; AND IT MAY FOCUS ON A SINGLE PROJECT OR PROGRAMME, OR EXTEND MORE BROADLY TO ENCOMPASS THE POLICY FRAMEWORK WITHIN WHICH THESE ARE LOCATED.

#### *This International Workshop: an integral part of this process and a central component of a study*

This International Workshop is organised in the framework of a study carried out by a consortium (composed of LL&A, PREST, ANRT and Reidev) on behalf of the Innovation Policy Development Unit of DG Enterprise and Industry. The aims of the study are to identify, collect and analyse evaluation experiences and exercises of innovation programmes and agencies in the EU Member States and some associated countries.

This Study Team has worked closely with a High Level Working Group comprising 8 experts from innovation agencies and ministries which met three times in order to benchmark, validate the work and preliminary findings. The Group also provided significant information, guidelines, research pointers and supportive documents.

On the basis of various forms of investigation – review of available literature, in-depth analysis of 6 case studies (Finland, Hungary, Scotland, Germany, Spain, Walloon region), opinion surveys undertaken through an online questionnaire and phone interviews of stakeholders of the innovation policy community - the study team has identified several issues which need to be discussed with the innovation policy-making and support community.

The ultimate goal of this study is to lay the groundwork for a **European Pilot Initiative**. The objective of the initiative will be first to design guiding principles, methods and operational tools for an enhanced evaluation practice of innovation programmes as a step towards a sound governance of innovation. Second, the team will provide recommendations for implementation of this approach.

This International Workshop is an integral part of the study process: it should allow discussion of early drafts and proposed EC pilot initiative and provide inputs for the final deliverables.

In order to get value and tangible results, active involvement of, and inputs from, participants will be vital components. We look forward to welcoming you and your inputs.



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#### CONTACT:

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## PROGRAMME

- 9:00**                      **Registration**
- 9:30 – 9:40**              **Introduction to the workshop**  
Louis **LENGRAND**, LL&A, study team Coordinator
- 9:40 – 10:00**            **Welcome address by the European Commission**  
Reinhardt **BUSCHER**, DG Enterprise, Head of Innovation Policy Development Unit
- 10:00 – 10:30**        **"Cultures of evaluation" of innovation policies and programmes in Europe**  
Alain **QUEVREUX**, ANRT, Study Team Member
- 10:30 – 11:00**        **"Towards the next generation": evaluation principles and practices in support of innovation policy design and implementation**  
Ian **MILES**, University of Manchester, PREST, Study Team Member
- 11:00 – 11:30**        **Coffee Break**
- 11:30 – 13:00**        **PANEL 1**  
**Why evaluate, when and how? What are the opportunities and constraints of the impact assessment model?**

**Moderator:** Louis **LENGRAND**, LL&A, Study Team Coordinator

### **Panellists:**

- Agnes **ARCIER**, Head of directorate for innovation policies and competitiveness, Ministry of Economy, Finance and Industry, France
- Eija **AHOLA**, Research Director, Impact Analysis, Evaluation Team, TEKES, Finland
- Neil **MAC CALLUM**, Head of Appraisal & Evaluation, Scottish Enterprise, United Kingdom
- Didier **PAQUOT**, Union Wallonne des entreprises UWE, Belgium
- Krzysztof **GULDA**, Director of the Department of Innovation, Ministry of Economic Affairs and Labour, Poland

### **Topics:**

- ⇒ *Rationales and pressures for evaluation*
- ⇒ *What to evaluate – from the programme level to the policy level?*
- ⇒ *Who does the evaluation? How to define the experts and set the parameters. What makes a good evaluator? Inside knowledge versus independence.*
- ⇒ *What do we really want to know about from the evaluation – from uptake to administration to policy outcomes?*
- ⇒ *Dealing with a variety of measures – how to synthesise the results: meta-evaluations and systemic evaluations.*
- ⇒ *Can we ever really know? Can evaluation really indicate the effects of policy intervention on innovation systems?*

**13:00 – 14:30**              **Lunch**

14:20 – 15:35

**PANEL 2**  
**Innovation policy evaluation: the constraints to  
evaluation practitioners**

**Moderator:** Paul **CUNNINGHAM**, University of Manchester, PREST, Study Team Member

**Panellists:**

- Kjell-Håkan **NARFELT**, strategy development, VINNOVA, Sweden
- Aris **KALOUDIS**, Research Director, NIFU STEP, Centre for Innovation Research, Norway
- Ken **GUY**, Director, Wise Guys Ltd., United Kingdom
- Michael **DINGES**, Joanneum Research - Institute of Technology and Regional Policy – InTeReg, Austria

**Topics:**

- ⇒ *What makes a good client – specified evaluation approaches versus freedom to choose? What should clients do prior to calling in the consultants?*
- ⇒ *What is good practice in innovation policy evaluation – what works, what doesn't and what can we do better?*

15:35 – 16:00

*Coffee Break*

16:00 – 17:00

**PANEL 3**  
**Innovation policy evaluation: the European perspective**

**Moderator:** Reinhold **ENQVIST**, REIDEV, Study Team Member

**Panellists:**

- Alpo **KUPARINEN**, Deputy Director General, Ministry of Trade and Industry, Finland
- Lena **TSIPOURI**, Associate professor, National and Kapodistrian University of Athens, Greece
- Thomas **ANDERSSON**, President and Chairman of the Board, International organisation for Knowledge economy and Enterprise development - IKED, Sweden
- Andrew **WILLIAMS** / Isabella **TESSARO**, Evaluation Unit, DG Enterprise and Industry, European Commission
- Neville **REEVE**, Planning, Programming and Evaluation Unit, DG Research, European Commission

**Topics:**

- ⇒ *What does the Commission do today (to promote an evaluation culture)*
- ⇒ *What can national governments do to improve the situation?*
- ⇒ *What can the Commission do to help? – The EC Pilot Initiative*

**17:00 – 17:45      CONCLUDING ROUND-TABLE**  
**Evaluation a key tool to deliver innovation driven  
competitiveness**

**Moderator:** Louis **LENGRAND**, LL&A, Study Team Coordinator

**Round table participants:**

- John **BARBER**, Former Director of Technology Economics and Evaluation, UK Department of Trade and Industry, Former Chairman OECD Committee on Scientific and Technological Policy
- Markus **MAURER**, Deputy Director General of the Department of Legislative Impact Appraisal, Reduction of Bureaucracy, Evaluation, and Law, in the Ministry of Economics and Labour, Germany
- Theo **ROELANDT**, Director of the Strategy, Research and International Affairs Department, DG for enterprise and Innovation, Ministry of Economic Affairs, The Netherlands
- Peter **STANOVNIK**, Senior Researcher, Institute for Economic Research, Slovenia
- David **WHITE**, Director, Innovation Policy, DG Enterprise and Industry, European Commission