



Workshop on “Assessing the Impacts of Public Research Systems”

Organisers: FCT and OECD

Date: 27-28 April 2015

Venue: Olissippo Oriente Hotel, Av. Dom João II, Parque das Nações Lisboa, Portugal

Draft Agenda: 15 April 2015

About the Workshop

The workshop will focus on the contributions of public research to innovation, uncovering gaps in our knowledge about the impacts of public research, discussing the variegated outcomes from impact assessment exercises and setting out a research agenda for the “impact assessment” module of the TIP/CSTP Knowledge Triangle (KT) Project. The workshop follows on the heels of workshops held by the CSTP, jointly with France Stratégie, in Paris in October 2014, by TIP/RIHR in Tallinn in May 2014, and by NESTA in conjunction with the OECD in London in December 2013.

Objectives

The aim of this workshop is to bring together practitioners, academics and policy makers to:

1. Learn from national experiences across three themes:
 - i. questions policy makers have with regard to the impact of innovation policies on the performance of public research;
 - ii. outcomes of national studies on the impacts of public research and how they are used;
 - iii. good practices in assessing impact, including governance and institutional approaches.
2. Reflect on impact assessment practices and their effectiveness in support of policymaking. This includes analysing lessons learned from good examples of integrating advice (such as practices to enhance policy learning).
3. Organise the work of the “impact assessment” module of the KT project and discuss country contributions in the process.

Contacts

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Agenda

27 April 2015

Session 1: 9h00 – 10h00

Welcoming and Introduction to the Meeting

The opening session will set the agenda and provide perspectives on the question of how public research can best support innovation in the context of Portugal.

Opening Speeches

- **Leonor Parreira**, Secretary of State of Science, Portugal
- **President** of the Portuguese Science and Technology Foundation
- **Dominique Guellec**, Head of Division, Science and Technology Policy Division, OECD

Introduction to the Workshop

- **Luísa Henriques**, Coordinator, Studies and Strategy Office, Portuguese Science and Technology Foundation (FCT)
- **Caroline Paunov**, Senior Economist, Science and Technology Policy Division, OECD

Session 2: 10h00 – 11h00

Open Questions on Impacts of Public Research

Policy makers are faced with multiple questions when they design policies regarding public research institutions and universities. Issues to be addressed by discussion groups include the following:

- *What are the current policy questions regarding the mobilisation of research to contribute to innovation?*
- *Where are gaps in our knowledge regarding the impact of public research on innovation? Which of these questions should be addressed by future impact assessment studies?*

Organiser: **Richard Scott**, Policy Analyst, Science and Technology Policy Division, OECD

Small Group Discussions

Coffee Break

Session 3: 11h30 – 13h00

What Do We Know about Impacts from National Research Assessments?

National evaluations of entire research systems and broad policy areas provide a first source of information on the state of public research, information on the nature of policies implemented, as well as an overview of what policies work better than others. The session will focus on insights from these evaluations and cover the following:

- *What do we know from national evaluations as to where public research has the biggest impacts on innovation?*

- *What policies were most successful in supporting universities' and public research institutes' contributions? What evidence has demonstrated those impacts?*
- *How have the design and implementation of research policies benefitted from impact assessment exercises? How have assessment exercises informed the policymaking process?*

Chair: Mario Cervantes, Senior Policy Analyst, Science and Technology Policy Division, OECD

Speakers:

- **Eeva-Karoliina Kaunismaa**, DG RTD, European Commission
- **Ricardo Mamede**, ISCTE, Portugal, and **Luísa Henriques**, FCT, Portugal
- **Seogwon Hwang**, STEPI, Korea
- **Stig Slipersæter**, Research Council, Norway

Session 4: 14h30 – 16h00

Perspectives from Different National Evaluation Exercises

Case studies and evaluations of specific programmes or institutions can provide insights on specific mechanisms how public research affects innovation. The session will focus on case studies of programme evaluations – spanning the range of quantitative to qualitative assessments – and address the following questions:

- *What do the best case studies teach us about the mechanisms that got public research to support innovation?*
- *What do we know about the impacts of specific policy instruments? Are there any new policy approaches that have successfully strengthened impacts of public research?*

Chair: Caroline Paunov, Senior Economist, Science and Technology Policy Division, OECD

Speakers

- **Reinhilde Veugelers**, KU Leuven
- **Dr. Stephanie Daimer**, Competence Center Policy and Regions, Fraunhofer Institute for Systems and Innovation Research (ISI) and **Michael Rothgang**, Rheinisch-Westfälisches Institut für Wirtschaftsforschung, Germany
- **Fernando Merida**, MINECO, Spain
- **Sander J. C. Kes**, Dutch Ministry of Economic Affairs
- **Ed Woolley**, Department for Business, Innovation & Skills, United Kingdom

Coffee Break

Session 5: 16h30 – 18h00

Impact Assessments and National Innovation Policy Design

Impact assessments can provide important insights on what works and what does not work, offering the potential for optimising policy design. Yet impact assessments have not in all cases played this role. The session will cover the following questions:

- *What is the role of impact assessment practices in national research systems?*
- *What are the main challenges evaluation exercises have to address to adequately respond to policy questions? What solutions have been identified to find more robust answers?*

- *What governance models can enhance the effectiveness of impact evaluations for evidence-based policy design?*

Chair: **Ricardo Mamede**, Assistant Professor, ISCTE - University Institute of Lisbon

Speakers:

- **Jane Bjørn Vedel**, Copenhagen Business School, Denmark
- **Philippe Laredo**, Université Paris-Est/ University of Manchester
- **Matteo Razzanelli**, Science Europe
- **Dirk Meissner**, Higher School of Economics, Russian Federation
- **Ian Hughes**, Department of Jobs, Enterprise & Innovation, Ireland (by phone)

Workshop Dinner: 20h00- 22h00

@ Cervejaria Trindade
 [<http://www.cervejariatrindade.pt>]

28 April 2015

Session 6: 9h00 – 12h30

Defining Next Steps for the Impact Module of the Knowledge Triangle Project

The session will focus on defining the proposed activities of the “impact assessment” module. The discussion will address specific objectives to be set for two strands of work (described below), different country contributions as well as the timeline of activities and how work on the module will be undertaken.

Chair: **Dominique Guellec**

1. Discussion of the Impact Assessment Module

Caroline Paunov will present possibilities for work to be conducted by the impact assessment module, covering the three different priorities of this work, and provide a summary of feedback received. The presentations will be followed by an open discussion.

- ***Identifying priorities for quantitative cross-country analysis***
9h00-9h45
- ***Creating indicators of national public research policies***
9h45-10h30

Coffee Break

- ***Identifying “best practice” in evaluation & the Community of Practice (CoP)***
10h50-11h30

2. Implications for the Overall Knowledge Triangle Project

11h30 -12h30

- **Mario Cervantes** and **Richard Scott**, Implications from the Workshop for the Overall KT Project
- Open Discussion

Closing Session: 12h30 - 12h40



Background on the Workshop Themes

After a long period of implementation, evaluation remains a core focus, which might be traced back to the late 1960s when the CSTP/OECD started to evaluate science policies. Assessing the impacts of policy is the more so important in a context of increasingly tight public budgets. Research evaluation practices developed in a core group of countries with institutionalised practices where structures are part of the policy-making. They feed into the policy and programme formulation and support informed policy decision on funding schemes. The scope of evaluation activities has widened, covering individuals and their trajectories, organizations, networks, and more recently eco-systems and policy-mixes, which requires analysis of outcomes resulting from multiple instruments interactions. The scope includes analysis of the impact of policies on public research institutions.

Several types of evaluation exist across countries: For example, ex-post evaluation is mandatory in some countries when a programme is terminated. Some countries require that an ex-ante impact assessment/evaluation is carried out to support programme and policy design. A reduced number of countries even go further and perform longer-term evaluation aiming at measuring economic and other social effects of programmes or organisations. Such analysis requires extensive use of data and the necessary time lag in order to apply econometric approaches and implement counterfactual analysis.

Examples of early adopter countries are the United Kingdom, France, Canada, Austria, the Nordic countries and Switzerland. Many countries, however, tend to have a less systematic approach to evaluation. This is the case for the Southern European ‘Mediterranean’ Countries, where evaluation activities are mainly linked to the regulations for the use of the European Structural Funds. For this group of countries and other members of the OECD research evaluation is not yet as well established and as widely diffused. Moreover the research evaluation community that supports the activity is often small. In many countries, benefits can be had from developing stronger competences and enlarging the knowledge base, through learning and adoption of good examples.

Background on the Knowledge Triangle Project

The work on impact will contribute to the CSTP-TIP Knowledge Triangle project. TIP has begun work on the Knowledge Triangle as part of its contribution to the CSTP’s PWB 2015-2016. At its June 2014 meeting, the TIP held a brainstorming discussion on the Knowledge Triangle and the proposed terms of reference [DSTI/STP/TIP (2014)8]. The project will deal with the following issues:

- the role of higher education in innovation, in particular the role of entrepreneurial education and researcher training policies;
- incentives for actors in the Knowledge Triangle, including for researchers;
- the autonomy of universities in global innovation systems;
- the role of government as both co-ordinator and actor;
- new channels for collaboration between university and society;
- the role of the business sector in local innovation eco-systems;
- incentives for institutions to take on new roles and missions;
- policies to link the different functions of research, education and innovation.



The project will bring together the common themes from these suggestions. In terms of deliverables, delegates suggested focusing on good practices. The project is organised around four modules:

- **Module 1.** Higher education institutions (HEIs) in the Knowledge Triangle (CSTP)
- **Module 2.** New financing, co-operation and governance arrangements
- **Module 3.** Place-based policies in support of the Knowledge Triangle
- **Module 4.** Evaluation and impact assessment