

## **About INNO-Appraisal:**

INNO-Appraisal is one of eight initiatives supporting the European Commission's Directorate General Enterprise in the development and coordination of innovation policy. INNO-Appraisal will take stock of and assess appraisal exercises such as evaluations, monitoring, benchmarking, and peer review in the area of innovation policy across Europe, at European, national and regional level. It will contribute to the improvement of the Commission's analytical capabilities in the area of innovation policy, thereby improving the regulatory and administrative environment for innovation in Europe and leading to more and better innovation. Our work seeks to develop a differentiated concept to characterise appraisals and assess their quality. It will also develop concepts in order to characterise policy measures and assess their performance based on the collected appraisals.

We use the term "appraisal" to distinguish our activities from evaluation and to encompass the broader set *ex ante* and *ex post* methodologies employed for the assessment of innovation policy performance, past, present and future.

Appraisal methodologies must be appropriate for the policies they review, with the development of policy often leading to the development of new methods, and *vice versa*. This work seeks to look into this process.

Our work has been designed to be integrated with and to involve policy makers and evaluators in a variety of ways. Thus, we have engaged a number of leading persons from the field to assist us. These form the INNO-Appraisal Steering Committee.

### ***The INNO-Appraisal Steering Committee:***

#### **Policy Makers**

- Ulrike Blankenfeld, BMWi, Germany
- Mark Beatson, Department for Innovation, Universities and Skills, UK
- Luisa Henriques, Fundação para a Ciência e Tecnologia, Portugal
- Nick Constantopoulos, General Secretariat for Research and Technology, Greece
- Rupert Pichler, BMVIT, Austria
- Jari Romanainen, TEKES, Finland

#### **Analysts**

- Phil Shapira, Georgia Institute of Technology
- Anthony Arundel, United Nations University - MERIT
- Alcardo Furlani, INNOVA Europe

### **The INNO-Appraisal team:**

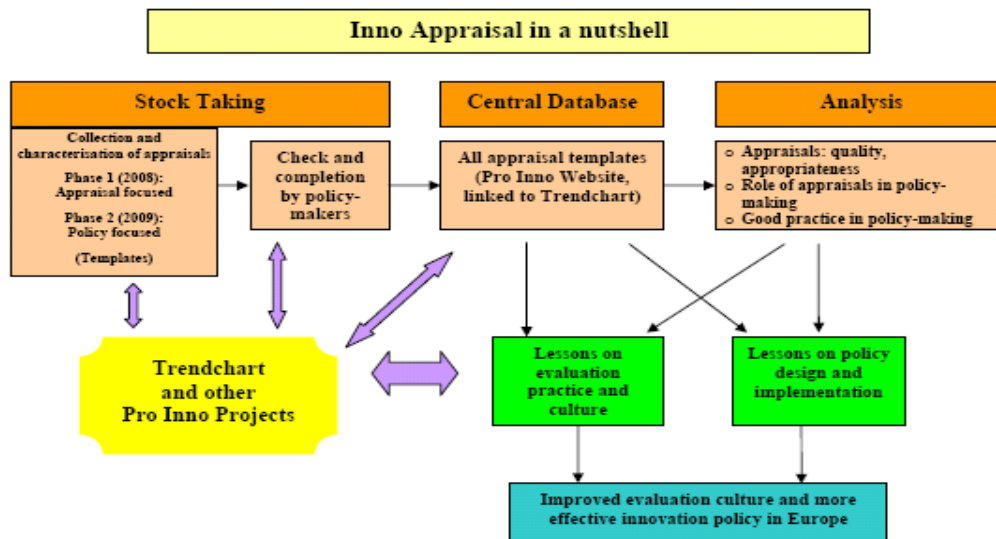
**Manchester Institute of Innovation Research** (formerly PREST), University of Manchester, UK

**ATLANTIS Consulting S.A.** Thessaloniki, Greece

**Fraunhofer Institute for Systems and Innovation Research**, Germany

**Joanneum Research**, Austria

**Wise Guys Ltd**, UK



## Our plans:

INNO-Appraisal involves the design of a research plan, the collection of information, detailed analysis and dissemination.

Design and conceptualisation of collection and analytical templates forms the first and key stage of the whole project. This has involved extensive interaction with the steering committee together with the piloting of our data collection instrument – the template. The template has been designed to capture a range of information on how appraisals are carried out and on the policy impacts that such appraisals may have had. Details of the template are given later in this Newsletter.

The second stage is the collection of appraisal data itself. This stage has just commenced and requires the identification of a population of evaluated innovation policy measures from across the Member States. Once examples of such evaluations have been located, together with their associated evaluation reports, the template is pre-filled, based on the judgements of the

INNO-Appraisal team, and sent to the responsible policy makers for validation and further information.

The third stage will cover the analysis of appraisals and their associated policy measures and, hopefully, definition and identification of good practice. This is where the real value added of INNO-Appraisal emerges as we seek to answer some specific questions about the relationship between types of appraisals, their methodologies and types of innovation support measures.

As noted above, stakeholder involvement is key to the success of this project: both from the oversight and inputs of our Steering Committee and from the closer engagement we seek to develop as we build our information base from a range of contacts with policy makers across Europe. In the latter process, we hope to develop a two-way relationship. In addition, these activities will be facilitated by a number of events and workshops and conferences which take place during the lifetime of the project.

### Links with Pro-INNO:

INNO-Appraisal is one strand of the wider PRO-INNO context. PRO-INNO, the innovation policy initiative of the Directorate-General for Enterprise and Industry, is a major programme of work that aims to develop innovation policy and practice across the European Union. PRO INNO seeks to become a focal point for innovation policy analysis and development throughout Europe.

While INNO-Appraisal forms a distinct activity within PRO-INNO, it has strong links with all the PRO-INNO components. In particular, its links with INNO Policy Trend Chart are of particular relevance and a close liaison is maintained between the two activities. For example, information on evaluated policy measures that resides in the Trend Chart database of policy measures has formed a cornerstone of the INNO-Appraisal database construction and sampling processes, whilst early INNO-Appraisal analyses have served to validate and check Trend Chart data.

This invaluable two-way process is seen as an area for future development, whilst links with other PRO-INNO initiatives such as INNO-GRIPS, INNO-VIEWS and the INNO-Learning Platform will also be mutually exploited as the project develops and progresses.

### What have we done so far?

Our major achievements in this early part of the project include the design of the template, consideration of the full fieldwork plan (which is likely to include a further survey), the collection of appraisals, and the development of the dissemination programme for the findings of the work.

#### *Development of the template*

The template design has proved a real challenge, balancing the need to be comprehensible to the survey participants, policy makers and the wider audience while at the same time being extensive enough to cover different types of appraisals, their characteristics and being able to capture the qualitative aspects of the appraisals. In addition, it must be concise in order to maximise our response rate. After several iterations, followed by an internal pilot phase and a limited external pilot phase with policy makers, a finalised version of the template has now been produced.

#### *Identification of appraisals*

Taking the Trend Chart database of Policy Measures as a starting point, we have built a database of innovation support measures that have been evaluated from 2002. Several issues have arisen here: some of the reported evaluations do not correspond to our definition of an evaluation, and refer to project assessment, auditing, or other administrative processes. In other cases, we have been unable to locate the evaluation reports themselves. However, fruitful dialogue with the Trend Chart team has overcome many of these difficulties and we have built a lengthy list of evaluation reports that will serve as the basis for our survey.

#### *Repository of appraisals and templates*

We have also begun the construction of a repository of evaluation reports and their accompanying assessment templates in the central INNO-Appraisal database. This is linked to the PRO INNO website and will, eventually, contain the complete set of appraisal templates and the 'library' of evaluation reports for public access.

#### *Dissemination activities*

Dissemination activities have already begun with the circulation of material around the INNO-Appraisal core team, the Commis-

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sion and the Steering Group. Contact has been extensive yet limited to electronic communication but a meeting is planned for February 2008.

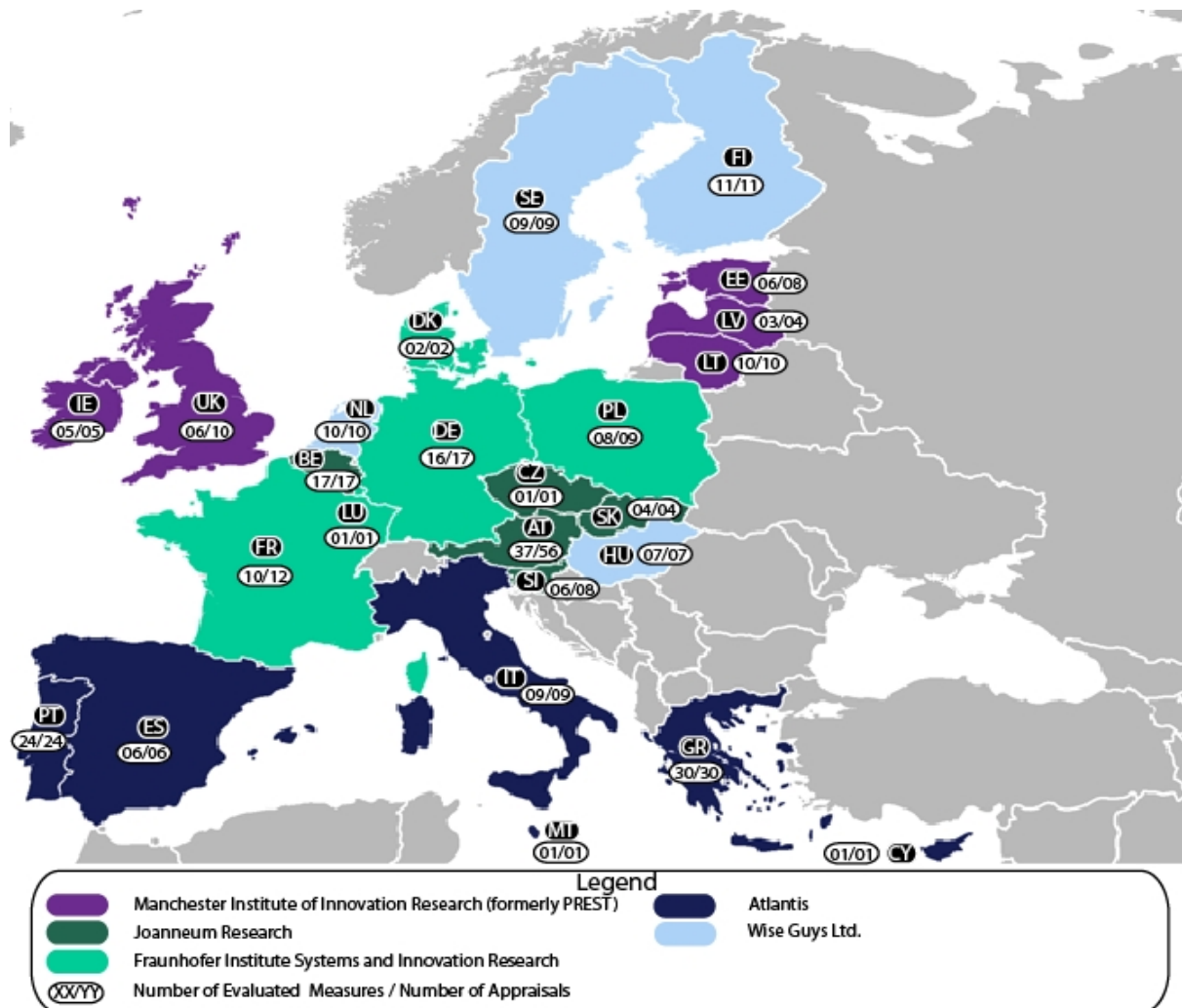
A second level of dissemination takes place through the PRO INNO community. Apart from electronic communication, a workshop within the INNO-Views activities is planned for spring 2008. Greater awareness of our activities across the evaluation community has also been achieved by introducing INNO-Appraisal at the conference "Turning knowledge into practice - Getting more out of public investment in innovation", organised by the IMPLORE project October 23-24 in Berlin.

Other activities include the project webpage and this newsletter. Later, project reports and presentations at further conferences and workshops will be added.

### *Evaluated policy measures*

Our basis for evaluated innovation policy measures is the INNO-Policy TrendChart Policy Measures Database. This currently contains 618 published innovation policy measures for the 25 EU Member State countries on which our study focuses. Of these, 216 policy measures report that they have been "evaluated during last five years". Our team has spotted 25 additional measures that are not included in the INNO-Policy TrendChart Database yet which are known to be evaluated innovation policy measures. Finally, as some of the measures can have multiple appraisals, our data analysis revealed a total of 272 appraisals for these 231 policy measures. Up until now, our team has obtained and taken stock of 46% of the 271 appraisals in the INNO-Appraisal database. A breakdown of these appraisals according to their countries is presented in the table and map below:

Country	Responsible Partner	Measures in TrendChart	Evaluated Measures in TrendChart	Other Evaluated Measures	Appraisals
EE	MloIR [coordinator]	8	6	—	8
IE		31	5	—	5
LT		28	10	—	10
LV		11	3	—	4
UK		36	6	—	10
CY	Atlantis	18	1	—	1
ES		26	1	5	6
GR		33	29	1	30
IT		19	4	5	9
MT		10	1	—	1
PT		32	16	8	24
AT	Joanneum Research	55	33	4	56
BE		67	17	—	17
CZ		24	1	—	1
SI		17	6	—	8
SK		5	4	—	4
DE	Fraunhofer Institute Systems and Innovation Research	27	16	—	17
DK		20	2	—	2
FR		31	10	—	12
LU		13	1	—	1
PL		12	7	1	9
FI	Wise Guys Ltd.	22	11	—	11
HU		37	7	—	7
NL		18	10	1	10
SE		18	9	—	9
EU-25		All Partners	618	216	25



### *The Template: Key issues*

INNO-Appraisal is attempting to characterise and analyse appraisals and derive lessons as for their use in policy-making. We will also try to derive more general lessons regarding good policy making throughout the policy cycle. To accomplish these aims, we plan to use two different templates for data collection.

The templates are designed to be pre-filled by team members (based on their expert judgements of the appraisals, derived from the appraisal reports) before sending them

to the policy-maker responsible for the measure concerned. Thus, we hope to minimise the effort required from the policy-makers while still utilising their valuable insight about the measures and appraisals.

The first template (on issues specific to the measure and its appraisal) has been developed and is being sent to policymakers in early 2008. The structure of the 7-page template, in terms of the issues it addresses, is shown below:

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- Cover page: basic information on the project and instructions (for policy makers) on how to fill in the template
- Part A: Information about the policy maker responsible for the measure
- Part B: Short information about the corresponding policy measure
- Part C: Basis characteristics of the Appraisal: Who conducted it, tender procedure, timing and purpose, costs, reason for the appraisal, topics covered, impacts analysed, sponsor, data analysis and collection methods used, dissemination policies, main audience
- Part D: Quality of the Appraisal: Assessment of the methods and data (starting with terms of reference)
- Part E: Recommendations of the Appraisal
- Part F: Dissemination and Implementation of the Appraisal Results

The full version of the template can be accessed via the INNO-Appraisal website (<http://www.proinno-europe.eu/index.cfm?fuseaction=page.display&topicID=53&parentID=53>).

A second template, dealing with the role of evaluation in the broader policy formulation process, will be developed later this year.

### *Coming next:*

The next edition of this Newsletter will present some of our preliminary findings, update you on our activities and offer more information on the evaluation of innovation policies in Europe.

We hope you will find it interesting!

*The INNO-Appraisal Team*

### *Contact us:*

*If you have any questions regarding INNO-Appraisal or would like to share information on matters relating to the evaluation of innovation support measures with us – please get in touch!*

Via the [INNO-Appraisal](http://www.proinno-europe.eu) website:

<http://www.proinno-europe.eu/index.cfm?fuseaction=page.display&topicID=53&parentID=53>

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