

**DIRECTORATE FOR SCIENCE, TECHNOLOGY AND INNOVATION  
COMMITTEE FOR SCIENTIFIC AND TECHNOLOGICAL POLICY**

**Cancels & replaces the same document of 23 September 2014**

**CSTP WORKSHOP ON ASSESSING THE IMPACT OF SCIENCE, TECHNOLOGY AND  
INNOVATION POLICY INSTRUMENTS WITH COMMON OBJECTIVES**

**OECD Conference Centre, Paris, 20 October 2014  
Starting at 9.15**

*The document is a draft agenda for a CSTP workshop on impact assessment. It is jointly organised with France Stratégie, an agency of the French Government responsible for strategic planning and foresight.*

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**WORKSHOP ON ASSESSING THE IMPACT OF SCIENCE, TECHNOLOGY AND  
INNOVATION POLICY INSTRUMENTS WITH COMMON OBJECTIVES**

**OECD AND FRANCE STRATÉGIE**

**OECD Conference Centre, Paris  
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The scale and extent of governmental support for science, technology and innovation (STI) creates a need for better assessments of how these policies impact the economy and society – a need exacerbated by the pressure on government spending following the economic crisis. Policies to promote STI increasingly need to demonstrate their impact on economic growth or their ability to contribute to the solution of environmental or societal problems. Accordingly, as emphasised in *OECD Science, Technology and Industry Outlook 2014*, the assessment of science, technology and innovation (STI) policies has become increasingly important in recent years.

The Committee for Scientific and Technological Policy (CSTP) has made impact assessment one of the main thrusts of its work in recent years, a focus that will be maintained for the foreseeable future, and this will be one of the topics of discussion for Ministers at the October 2015 CSTP meeting in Korea. It should also be noted that the Committee on Industry, Innovation and Entrepreneurship (CIIE) has undertaken work on the assessment of industrial policies, of which innovation is a vital component, and that this work will continue over the 2015-16 biennium.

In conjunction with the CSTP meeting on 20 October 2014, France has proposed holding a workshop on the theme of “Assessing the Impact of Science, Technology and Innovation Policy Instruments with Common Objectives”. This workshop, to be co-hosted by France Stratégie, follows on the heels of similar workshops held by the CSTP in Paris in March 2013, by TIP/RIHR in Tallinn in May 2014, and by NESTA in conjunction with the OECD in London in December 2013. These events primarily explored issues and methods associated with the assessment of single policy instruments. In contrast, the CSTP Paris workshop in October 2014 will concentrate on the assessment of multiple instruments targeted at the same objective.

As innovation policies have been gaining in importance, the number of instruments has been increasing, so that countries often use several instruments in combination to attain a single objective. A key issue, therefore, is how to assess the impact of a combination of instruments when used to reach a shared objective, such as promoting research excellence; stimulating corporate research and development (R&D) activities; or encouraging the transfer of research findings from the public to the private sector.

A closely related issue is how to assess the impact of the individual policy instruments in such targeted policy mixes, i.e. how to deal with the problem of attribution when multiple instruments are used to attain the same goal. Typically, impact assessments of individual instruments rarely take into account the interactions of these instruments with other mechanisms, even with those seeking to attain identical goals, yet these interactions can have powerful positive and negative effects on goal attainment.

In reality, individual instruments often have multiple goals; many policy instruments are deployed to reach a wide variety of objectives; the range of potential interactions between all these instruments is

enormous; and the effect of these interactions on overall impact is incredibly difficult to ascertain. In this workshop, the objective is not to take all these interactions into account, which would require a comprehensive innovation system approach. A necessary first step to improve policy evaluation is to explore how the existence of multiple instruments with same aim can affect impact assessments of individual instruments; and how the combined impact of all these instruments on the same goal can be assessed.

After an **introductory session** that will review OECD experience evaluating single instruments and policy mixes in the STI realm, **this workshop will consist of a further three sessions and a roundtable.** The first of these sessions will review impact assessments of single instruments and policy mixes in fields other than STI, while the next two sessions will review efforts to assess **STI policies aimed at specific goals.** These will take into account both the effect of interactions on the assessment of individual instruments and the collective impact of all instruments on overall goal attainment. The final roundtable will then bring policymakers together to review the lessons to be learnt for the impact assessment of individual instruments within policy mixes targeted at specific goals; for the impact assessment of these policy mixes; and finally for the impact assessment of overall innovation system policy mixes that have multiple goals.

- **Introduction**

This session will include a review of the methods and techniques available to assess the impact of STI policies and some of the lessons that can be learnt both for policy and for the assessment of STI policy mixes.

- **Session 1: Learning from impact assessment experiences in STI and other fields**

This session will focus on impact experiences in other related fields where different policy mixes have been introduced to achieve specific ends. The first field concerns employment policy, where many instruments have attempted to increase employment opportunities and there is a long history of efforts to assess the goal attainment and impact. The second field concerns industrial policy, since CIIE has recently conducted a review of the evaluation of industrial policy instruments that is highly relevant. Many of the instruments are related to innovation, and often they are implemented in combination with each other.

- **Session 2: Assessing the impact of policies to promote business R&D**

Many OECD countries deploy instruments that are aimed at promoting business R&D, notably by incentivising firms – both established and new – to invest in R&D. These instruments can include indirect financial instruments such as tax incentives, or direct support in the form of targeted grants and loans for R&D projects. Available studies tend to show that the beneficiaries of the various schemes in existence overlap, with firms receiving one type of support also benefitting from other support mechanisms. Many impact assessments focus on individual instruments, but this session will focus on what is known – or not known – about the positive and negative interactions between these various instruments; about attempts to ensure that these instruments complement each other; and about the collective impact of targeted policy mixes.

- **Session 3: Assessing the impact of mechanisms to promote university-industry research co-operation and knowledge transfer**

Many governments and regional authorities deploy instruments that aim to stimulate interactions between public and private sector STI actors with the aim of promoting knowledge flows between them, eventually leading to the commercialisation of public research. These include support for collaborative

R&D programmes, the establishment of centres of excellence and technology transfer centres that facilitate university-industry interactions, and a variety of other public-private partnership schemes. In theory, all of these instruments have the potential either to complement or interfere destructively with each other. Moreover, there is also the potential for negative and positive interactions with, on the one hand, policies aimed solely at supporting the public sector science base and, on the other hand, policies such as cluster policies that have the aim of stimulating industrial or regional development. All these factors complicate efforts to assess the impact of policy mixes aimed at stimulating public/private knowledge flows and interactions. The focus of this session, therefore, is on the lessons to be learned from experience for the assessment of both the interactions between policies and the impact of targeted policy mixes.

- **Session 4: Roundtable: From the impact assessment of individual instruments to the assessment of policy mixes**

This roundtable will review the lessons to be learnt from the preceding sessions for impact assessment practices:

1. Concerning the effect of other policy instruments within a policy mix on the impact assessment of individual instruments;
2. Concerning ways of assessing the impact of sets of policy instruments that have a shared aim (targeted policy mixes);
3. Concerning the lessons to be learnt for the eventual impact assessment of broad multi-instrument, multi-objective policy portfolios (policy mixes).

It will also review the lessons to be learnt for policy formulation and implementation, hopefully identifying good practice in terms of enhancing impact and promoting complementarities.

Taking into account past CSTP and CIIE work in the area and the lessons learnt during the workshop, participants in the roundtable will then be asked to identify topics for discussion at the CSTP meeting at Ministerial level and items to be included in future CSTP work programmes.

**DRAFT AGENDA**

<b>Monday, 20 October 2014</b> <b>OECD Conference Centre</b> <b>(Breakfast to be served from 08.45)</b>	
<b>9.15-09.40</b>	<b>Welcome and introduction</b>  <p>This session will introduce the objectives of the workshop and locate it in the context of earlier workshops organised by the OECD in Paris, London and Tallinn. It will frame the issue of assessing inter-related policy instruments. It will demonstrate the link between CSTP and CIIE work in this area. It will underline the importance of impact assessment in the context of the forthcoming CSTP meeting at Ministerial level in 2015.</p> <p><i>Speakers:</i></p> <p>Jean Pisani-Ferry, General Commissioner of France Strategy and Chair of the National Commission for the Evaluation of Innovation Policies  CSTP Chair</p> <p>Erik Arnold (Technopolis): RIHR/TIP report on impact assessment (15 minutes)</p>
<b>10.00-11.15</b>	<b>Session 1: Learning from impact assessment experiences in STI and other fields</b>  Speakers: <ul style="list-style-type: none"> <li>– Antoine Bozio (IEP, CAE) : Employment policies (20 minutes)</li> <li>– Ken Warwick (UK): The CIIE report on the evaluation of innovation policies (20 minutes)</li> </ul> <p>Discussant: Ward Ziarko, Belgium (10 minutes)</p> <ul style="list-style-type: none"> <li>– General discussion (25 minutes)</li> </ul>
<b>11.15-11.45</b>	<b>Coffee break</b>
<b>11.45-13.00</b>	<b>Session 2: Assessing the impact of policies to promote business R&amp;D</b>  Speakers: <ul style="list-style-type: none"> <li>– Pierre Mohnen (MERIT, Netherlands): Assessing individual policies in the presence of complementarities (15 minutes)</li> <li>– Christophe Bellego (economist, INSEE, France): How R&amp;D tax credit and cluster policies interact: The case of French « pôles de compétitivité » for SMEs and mid-sized firms (15 minutes)</li> <li>– Sean O'Reagain (acting head of unit Evaluation, DG Research and Innovation, European Commission): The Evaluation of EU Research and Innovation Programmes (15 minutes)</li> </ul> <p>Discussant: Mark Franks, United Kingdom (10 minutes)</p> <p>General discussion (20 minutes)</p>
<b>13.00-14.30</b>	<b>Lunch</b>

**14.30-16.00 Session 3: Assessing the impact of mechanisms to promote university-industry research cooperation and knowledge transfer**

Speakers:

- Dirk Czarnitski (KU Leuven) (15 minutes)
- Jun Suzuki (National Graduate Institute for Policy Studies) (15 minutes)
- Wolfgang Polt (Joanneum) (15 minutes)

Discussants : Federico Cinquepalmi, Italy; Michael Huch of VDI/VDE, Germany (10 minutes)

General discussion (35 minutes)

**16.00-16.30 Coffee break**

**16.30-18.00 Session 4: Policy roundtable**

In this concluding roundtable, participants will be asked to review the lessons to be learnt for:

- a. Assessing the effect of other policy instruments in a policy mix on the impact of an individual instrument;
- b. Assessing the impact of sets of policy measures that have a shared aim;
- c. Assessing broad, multi-instrument, multi-objective policy mixes.

They will also be asked to highlight the lessons to be learnt for policy design and implementation, especially concerning the advantages and disadvantages of using targeted policy mixes and best practice hints and tips.

The session will conclude with a summary of the main messages from the workshop. It will also formulate recommendations related to impact issues for discussion at the CSTP meeting at Ministerial level in 2015.

Panel members:

- Frédérique Sachwald, France
- Jang Yongsuk, Korea
- Daniel Dufour, Canada
- Paulo Correa, World Bank
- Philippe Larédo (Manchester University)