

1 September 2011

Evaluation of Innovation Activities: methods and practice

**Final Interim Report to the European Commission, Directorate
General Regional Policy**

In association with:

**Manchester
Institute of
Innovation
Research**

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1. Introduction

1.1 Scope of the study and timetable of deliverables

The specific objectives of this contract are:

- to provide an assessment of the state of the art of the evaluation of innovation support measures in European Union (EU) Member States,
- to provide an analysis of the advantages and limitations of available methodologies for assessing different kinds of innovation activities,
- to conduct case studies on good quality evaluations, and
- to draft guidance for Managing Authorities to support their evaluation activities.

For this study, "innovation activities" are those supported by the ERDF programmes under the Convergence, Regional Competitiveness and Employment and European Territorial Co-Operation Objectives (cross-border cooperation programmes only) according to the Community strategic guidelines on cohesion.

The results of the study will feed into the guidance on evaluation that DG REGIO will issue to prepare the next programming period for Cohesion Policy and the Evalsed website¹ which provides guidance on the evaluation of socio-economic development.

The duration of the study is 12 months from signature of the contract. Effectively from 3 January 2011 to late December 2011.

Figure 1: Overview of deliverables and meeting

Deliverable/meeting	Date
Kick off meeting	11 Jan 2011
Draft methodological inception report (deliverable 1)	31 Jan 2011
Steering Committee / Comments from Commission	24 Feb 2011
Final methodological paper after comment (deliverable 1)	28 March 2011
Progress reports (2 pages) (deliverable 2)	End March, April, May, July, September
Draft interim report, including proposal for 15 case studies, a revised case study template and a revised "evaluation brief" (deliverable 3)	30 June 2011
Steering committee / Comments from Commission	Mid-July
Final interim report after comments (deliverable 3)	End-July
15 case studies, 15 analytical fiches and proposed structure for guidance document (deliverable 4)	31 Aug 2011
Steering committee / Comments from Commission	Mid-September
Draft final report (deliverable 5)	30 Oct 2011
Workshop with Commission and practitioners (deliverable 6)	Mid November
Final report (including 15 analytical fiche, revised guidance document and PowerPoint slides) (deliverable 7)	16 Dec 2011

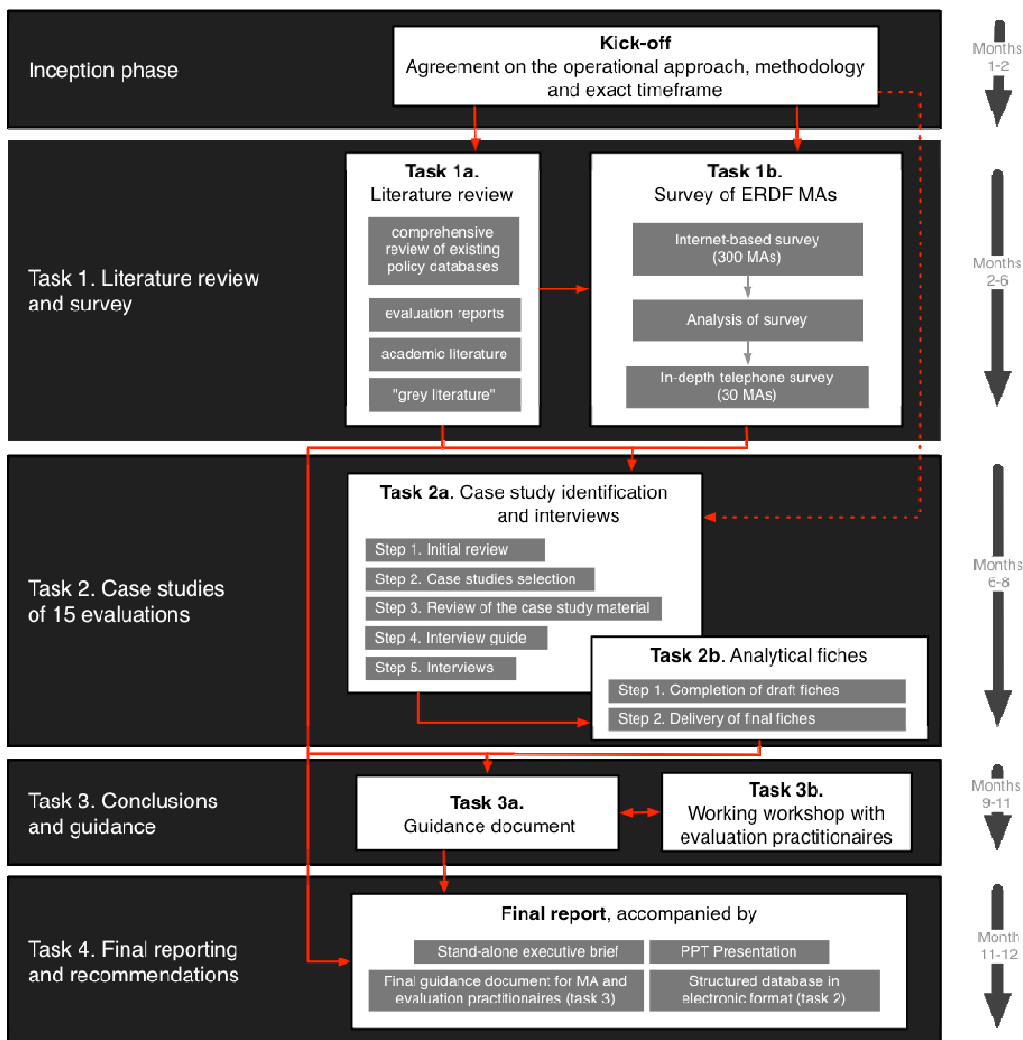
¹ http://ec.europa.eu/regional_policy/sources/docgener/evaluation/evalsed/index_en.htm

The specifications for the study set out three tasks that the contractor must fulfil with a view to the ultimate delivery of an updated guidance document for ERDF Managing Authorities. Accordingly, the study is structured in **five main phases**:

1. Methodological report (Inception Report)
2. Survey of available evidence and literature on methods to assess the effects of innovation activities (task 1)
3. Case studies of 15 evaluations (task 2)
4. Drafting of operational conclusions and a guidance document for evaluation of ERDF co-funded innovation activities and workshop with practitioner (task 3)
5. Final report (task 4)

Figure 2 below summarises in diagrammatic format the project tasks and flow of activities to complete the study.

Figure 2: Study flowchart



1.2 Structure of the Draft Interim Report

The Draft Interim Report was submitted to the Steering Group on 1 July and was subsequently discussed at a Steering Group meeting on 13 July. The present document and appendices reflect the outcome of this discussion and address the comments made by the client as outlined in the minutes of the SG meeting.

The Final Interim Report is structured as follows:

- Section 2 summarises our approach to- and main findings from the literature review and survey of Managing Authorities (Tasks 1a and 1b), and includes the final (revised) selection of case studies (Task 2a).
- Section 3 presents the next steps in the project, notably the case studies of 15 evaluations (Task 2) to be completed over the summer months (July/ August).
- The Appendices include comprehensive analysis of the results of the literature review (Task 1a) and the online and telephone survey of ERDF Managing Authorities (Task 1b).
- Also included in Appendices are:
 - the updated (revised) interview pro-forma, reporting template, and evaluation brief that will be used for case study interviews and preparation of case study reports (Task 2b), as specified in the Inception Report;
 - the questionnaire for the online survey and interview guide for the telephone survey of Managing Authorities (used as part of Task 1b)

2. Progress on tasks to date

2.1 Overview of progress made on project tasks to date

An updated version of the Final Inception Report was resubmitted to DG REGIO on 6 May and was subsequently accepted by the Steering Group on 25 May.

As per the project workplan, the Study Team has made progress on the literature review (Task 1.a.) and the survey of Managing Authorities (Task 1.b) and has prepared a proposal/ long-list for potential case studies of good practice evaluations in preparation for Task 2.

2.1.1 Literature review

The Study Team was able to gather evidence from a total of approximately 60 relevant evaluations, which form the basis for the literature review output paper (Appendix A). The review of policy databases has yielded approx. 50 relevant evaluation reports, and referrals from the online survey have led to 11 additional evaluation reports that treat innovation explicitly.

Based on the review of these reports the Study Team has compiled a shortlist of good practice evaluations, which was cross-checked with the findings from the telephone survey of targeted MAs to inform the final selection of case studies (see section 2.5.).

2.1.2 Survey of Managing Authorities

One of the main aims of the online survey of 300+ MAs was to identify MAs with relatively extensive experience of managing and/or evaluating innovation support interventions (see Appendix B). The purpose of the telephone survey of targeted MAs was to investigate their experience in a greater detail and to elicit insights into strengths and weaknesses of different evaluation methods in relation to different types of innovation support measures (see section 2.4.2).

The Study Team has used the in-depth telephone interviews to explore patterns emerging from the online survey and to generate a set of “good practice” evaluation reports which has helped in the selection of case studies (see section 2.5.).

2.1.3 Selection of case studies

A long-list of 30 evaluations for potential case studies was included in the Draft Interim Report and discussed with the client at the SG meeting on 13 July. Based on this discussion, a final list of 15 evaluations was drawn up and approved by the SG. The list is included in section 2.5 of this report.

2.2 Conceptual framework / Concepts & definitions

In order to establish a clear and coherent conceptual framework for the study, a number of elements were put in place in the initial stages of the project. In particular, the study team developed guidance on evaluation terminology and categories of innovation support which were used as a framework for the literature review and as part of the online and telephone surveys of MAs. The development of the glossaries of evaluation terms and the typology of innovation support measures was an iterative process and was guided by the findings that emerged from the tasks undertaken, in particular the literature review and the online survey of MAs. In addition, feedback was continuously provided by the steering group which helped to further refine the basic conceptual frameworks which are outlined in the following subsections.

2.2.1 Glossary of common data collection methods for evaluations

The following table provides an overview and explanation of the main data collection methods commonly used in evaluations. Note that this is the final (updated) categorisation of data collection methods following a further round of comments from the SG at the 13 July meeting.

Table 1 Common data collection methods for evaluations

Method	Description
Use of administrative data	Use of data and other information relating to the programme's administration, activities or performance systematically collected during the lifetime of the of the programme, usually by the programme management or administration, although the availability and quality of the administrative data can be variable depending on the programme requirements and the programme implementation mechanisms
Use of secondary data	Use of existing data and documents directly or indirectly related to a programme, which are not produced during the evaluation process. This includes: <ul style="list-style-type: none"> • Desk research of programme documents and other related documents (administrative manuals, application forms, assessment forms, existing evaluation reports and broader policy reports, etc) • Literature review (academic publications, grey literature, etc) • Collection of statistical data from existing surveys or databases
Individual stakeholder interview	Technique used to collect qualitative data and the opinions of people who are concerned or potentially concerned by the intervention, its context, its implementation and its effects. Several types of individual interview exist, including informal conversations, semi-structured interviews and structured interviews. The latter is the most rigid approach and resembles a questionnaire survey. A semi-structured interview consists of eliciting a person's reactions to predetermined elements, without hindering his or her freedom to interpret and reformulate these elements. Individual interviews target two types of population: <ul style="list-style-type: none"> • Stakeholders and beneficiaries interviews conducted with those who have participated in the programme or policy evaluated • ‘Non-participant’ interviews conducted with those who have not participated in a measure or who have not benefited from the activities or services provided by a measure.

Questionnaire survey	<p>A survey consists in putting a series of standard questions in a structured format to a sample of individuals who are usually selected as being representative of the population under observation. As individual interviews, surveys target either the beneficiaries and stakeholders, or the non-beneficiaries.</p> <p>Surveys are either exhaustive, covering the whole population involved or based on a representative population of the whole population observed. They can be carried out by phone, on paper or online.</p>
Focus groups (also referred to as ‘workshops’, ‘seminars’, or ‘group meetings’)	<p>The focus group is a well-established method of social inquiry, taking the form of structured discussion that involves the progressive sharing and refinement of participants' views and ideas. The discussion is used to identify important themes or to construct descriptive summaries of views and experiences on the focal topic.</p> <p>The typical format involves a relatively homogenous group of around six to eight people who meet once, for a period of around an hour and a half to two hours. The evaluator or researcher is in charge of facilitating the group interaction. Focus groups are usually more structured than workshops, seminars or group meetings.</p>
Expert panel (also referred to as peer reviews)	<p>An "expert panel" is a specially constituted work group that meets for evaluation. Expert panels are usually made up of independent –often international- specialists recognised in the fields covered by the evaluated programme. In the evaluation process, they are usually used as a mechanism for synthesising information from a range of sources, drawing on a range of viewpoints, in order to arrive at overall conclusions. Results are usually based on reaching a consensus of opinion in arriving at a value judgement on the programme and its effects.</p>
Bibliometric or patent database studies	<p>Searches of scientific publications (and sometimes their citations) and patents from bibliometric and patent databases.</p>
Indicators	<p>A characteristic or attribute, which can be measured to assess an intervention in terms of its outputs or results. Output indicators are normally straightforward. Result indicators may be more difficult to derive, and it is often appropriate to rely on indirect indicators as proxies. Indicators can be either quantitative or qualitative. Context indicators relate to the environment for the programme.</p>

2.2.2 Glossary of analytical approaches and methods commonly used in evaluations

The following tables provide an overview and explanation of the main analytical approaches and methods commonly used in evaluations. Note that this is the final (updated) glossary of analytical methods reflecting the SG comments at the 13 July meeting.

Table 2 Analytical approaches commonly used in evaluations

Method	Description
Counterfactual impact evaluation	<p>Approach that compares the state where no intervention has (or is assumed to have) taken place and the state where there has been an intervention. The question of attribution (i.e. how and to what extent is what occurred attributable to the programme?) is central to this approach. Since by definition we can never observe the counterfactual situation, we can never observe effects with certainty. Real world evaluation designs are based on an estimate of the counterfactual derived either from comparing subjects who were exposed to an intervention with a comparison group who were not exposed, or from examining subjects before and after exposure.</p>
Theory-based impact evaluation	<p>Contrary to the counterfactual approach, the theory-based impact evaluation focuses on the notion of causality (i.e. demonstrate whether or not the evaluated intervention is one of the causes of observed change). The analysis relies upon chains of logical arguments that are verified through a careful field work. Rigour in causal contribution analysis can involve systematically identifying and investigating alternative explanations for observed impacts and as such it is less frequent than the counterfactual approach.</p>

The analytical methods in Table 3 below can be used under both of the above analytical approaches (e.g. the *baseline approach* can form part of the counterfactual approach in an evaluation; *contribution analysis* is an analytical method that can be used as part of a theory based impact evaluation).

Table 3 Analytical methods commonly used in evaluations

Method	Description
Descriptive statistics analysis	Use of basic descriptive statistics to analyse the data and describe an intervention or a situation (e.g. uptake analysis, meaning the extent to which target beneficiaries have taken up the support provided by the intervention)
Input/output analysis	Method used to characterise economic activity in a given time period, and to predict the reaction of a regional economy to stimulation, for example, from increased consumption or changes in government policy.
Cost benefit analysis	Tool for judging the advantages of the intervention from the point of view of all the groups concerned, and on the basis of a monetary value attributed to all the positive and negative consequences of the intervention (which must be estimated separately). Cost-benefit analysis is used mainly for the ex ante evaluation of large projects.
Micro-economic models	Micro-economic modelling refers to modelling behaviour/performance of individual economic actors, most often businesses but also households, consumers, etc. In the context of evaluation, micro-economic modelling would be used to try to understand the effects (or lack thereof) of public interventions on the behaviour of a business (or other economic actors). The usefulness of the model depends on whether it can be generalised.
Macro-economic models	A macroeconomic model is a tool used to present a holistic view of the operation of an economy, usually in the form of a computer-based system. It is a means of collating research on the economy in a systematic and policy-relevant way, and depends on the availability of such research. The goal of a macroeconomic model is to replicate the main mechanisms of an entire economic system, which may consist of a region (such as the Italian Mezzogiorno), a nation state (such as Poland), or a collection of nation states (such as the 27 members of the EU). The only requirement is that the entity being modelled is large enough to display the distinctive properties that are the subject area of macroeconomics.
Multicriteria analysis	Multicriteria analysis is used to make a comparative assessment of alternative projects or heterogeneous measures. With this technique, several criteria can be taken into account simultaneously in a complex situation. The method is designed to help decision-makers to integrate the different options, reflecting the opinions of the actors concerned, into a prospective or retrospective framework. Participation of the decision-makers in the process is a central part of the approach. The results are usually directed at providing operational advice or recommendations for future activities.
Case studies	Methods of inquiry that focus on detailed data collection and analysis and which focus on a restricted number of participants/beneficiaries. It involves in-depth study of a phenomenon in a natural setting, drawing on a multitude of perspectives. These multiple perspectives may come from multiple data collection methods (both qualitative and quantitative), or derive from multiple accounts of different actors in the setting. The phenomena may concern individuals, programmes, organisations, projects, groups of people or decision-making processes.
Social Network Analysis	Analysis that aims to map the social interaction between the subjects of an evaluation including the beneficiaries. It considers the participants as a social structure made up of individuals (or organizations) called "nodes", which are tied (connected) by one or more specific types of interdependency. The SNA aims at assessing the intensity of the interdependency between the individuals.
Baseline approach	Approach that compares data on participants/beneficiaries collected before the intervention with that collected after the intervention.

Benchmarking approach	Benchmarking refers to the qualitative and quantitative standard for comparison of the performance of an intervention. Such a standard will often be the best in the same domain of intervention or in a related domain. Either programmes in the same region/ country, or programmes in foreign countries can be benchmarked. In the latter case, benchmarking is a way to add international perspective to the evaluation.
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2.2.3 Typology of innovation support measures

The following table provides an overview and description of the main categories of innovation support measures that are being used as a framework for the study. The first seven categories listed below were identified at the launch of the study in agreement with the SG. They were therefore used in the online survey, where managing authorities were asked to classify the evaluation studies they have commissioned. However, these categories were slightly adapted when mapping the evaluation reports collected from various sources for the literature review. Indeed, since very few of the reports collected focused on the support for the development of ICT, we chose to rather focus on the six other categories. Additionally and given the scope of reports collected, we added a new category “sectoral research”.

Table 4 Main categories of innovation support measures

	Type of measure	Description
1	Direct financial support for innovation activities	Support for R&D and demonstrator projects (through loans or grants)
2	Innovation management support and dissemination	Support for non-R&D related aspects of innovation such access to advice and training for innovation related management or for entrepreneurship, etc.
3	Intermediary bodies, agencies etc.	Support for intermediary organisations to facilitate technology transfer, including science parks and technology transfer agencies, poles and incubators.
4	Start-ups and Spin-Offs	Mechanisms aiming to support the creation and growth of new firms, including seed funding and venture capital.
5	Networks & Clusters	Support aimed at the development of inter-organisational cooperation in the production and transfer of knowledge / innovation. Generally involves inter firm networks rather than individual collaborations. Can involve mobility of personnel.
6	Science – industry cooperation	Support for linkages or direct cooperation between science (including both HEIs and public research establishments) and industry to facilitate/promote exchange of knowledge. Can involve mobility of personnel.
7	Support for the development of ICT	Support for the uptake of ICT by firms and households, support for the supply and demand of ICT products and services including e-government, e-business, e-learning and e-health, broadband infrastructures
8	Strategic research	Promotion of research and innovation activities in thematic areas of regional and/ or regional strategic interest.

2.3 T1a: Literature review

The full literature review can be found in Appendix A . This section summarises the process and the main conclusions.

2.3.1 Summary of review process and sources

The literature review has gathered together a large number of evaluations of innovation support measures, in order to come to a view on the current state of the art across Europe, and to provide

an empirical reference point for the study more generally. Specifically, the literature review has sought to:

- Identify the approaches used for evaluating different kinds of innovation activities commonly funded by the ERDF, including mixed support
- Analyse the advantages and limits of these methods for evaluating different types of innovation measure
- Examine in particular the use of selected data collection tools and analytical techniques: beneficiary surveys, impact analysis, as well as methods used to assess mixed support and behavioural change

For each type of innovation activity selected, we sought to obtain 5-10 published evaluations from a mixture of regional settings, and ultimately compiled a bibliographic database and repository of 58 evaluations. The study team created a log of the material scanned (as a shared file on Google Docs) to facilitate a decision on what material to include in the analysis. The papers were deposited in a hard-disk folder or repository and a bibliographic database constructed. The relevant items were then profiled using their methodological descriptions:

- Evaluation questions addressed
- Data sources and data collection methods
- Analytical techniques used

We have made use of this portfolio of evaluation reports in two ways:

- Profiling the basic study design parameters (questions, methods, analytical techniques) for each evaluation, in order to carry out some simple descriptive statistics. The profile analysis is presented in the first chapter of this report
- Reading the methodological descriptions in each evaluation report, in order to explore the rationale for choosing a particular approach and to test the extent to which those design choices are determined by the type of innovation measure (the evaluation entity). These in-depth assessments of clusters of reports have been informed by a more general reading of the academic literature and evaluation guidance

The principal data sources were the CORDIS and RIM databases, which together generated more than 1,300 leads and this was supplemented by 196 additional references (URLs) secured through the survey of managing authorities. The 1,500 leads were followed up systematically in order to build a repository of relevant evaluation reports and specific guidance material. Unfortunately, the very great majority (70%+) of the leads simply linked to an organisational web page with an organisational profile or scheme description, but not published reports. Where the links did connect to a downloadable report, the very great majority of those documents were annual reports or programme descriptions of some sort and were not evaluations. The residual group of evaluation reports were then screened individually to confirm that they did indeed include a discrete review of one or other of the eight types of innovation activities in scope, and we ultimately arrived at a portfolio of some 58 relevant reports.

On balance, the search and screening process proved to be less productive than had been anticipated either in terms of the numbers of evaluations obtained or the quality of those reports. Three points stand out, which may warrant further reflection:

- A large proportion of organisations that fund innovation support measures either do not publish the evaluations they commission, or do so only very occasionally and selectively. Assuming innovation measures are being evaluated reasonably frequently, which the survey of managing authorities suggests is the case, there may be value in pressing for more open publication, of summaries at least, and possibly in both the national language and one other (English?)
- The format and presentation of many of the evaluation reports was rather poor, inasmuch as most reports do not include a specific chapter or appendix explaining the choice of methodology or any reflection on how it might be improved in future. As with the previous

point, good practice would suggest that every evaluation ought to reflect on its study design and lessons learned as a means by which to support learning among funding agencies and practitioners

- The majority of ERDF evaluation reports focus on testing the coherence of investments (alignment with operational programmes) and reconciling project outputs with contracted results. Only a minority looked explicitly at the effectiveness of the specific innovation measures supported.

2.3.2 Main conclusions

Overall, the literature review suggests that, currently, evaluation methods are only partially determined by the particularities of the innovation measure under review. The great majority of the evaluations appraised by this study, address themselves to the same central questions applicable to any policy evaluation – relevance, efficiency and effectiveness – and most of them deployed a broadly similar core methodology comprising:

- Desk research to test the alignment of the scheme (volume / shape of investments, activities and outputs) as compared with the strategic plan, and to gather definitive statistics on scheme inputs and outputs for incorporation with the subsequent value for money calculations
- Stakeholder interviews to explore opinion on the continuing need for such a measure within the country or region in question, in light of wider developments (events) and more recent policy initiatives (complementary schemes)
- A questionnaire survey to obtain semi-quantitative feedback on the administration and efficiency of the scheme in question and to detail and possible dimension the attributable benefits, social and economic

This is an over-simplification of course. There are plenty of exceptions within the portfolio of evaluation reports that we have gathered together, where one or other of these aspects is missing from the study design. However, these appear to reflect a conscious decision to move quickly and efficiently to answer one question: a strategic review for example, which might focus on the stakeholder interviews; or a pilot evaluation, which might emphasise the desk research and beneficiary survey. Equally, this triptych is an attempt to characterise a core methodology, where many studies deploy two or three other data collection methods or analytical techniques.

We can unpack this over-simplification at two levels, between those measures falling at either ends of the science and innovation spectrum and at the level of the individual innovation measures.

There is something of a split evident in the overarching study design between two clusters of the innovation measures under review, which one might loosely describe as the science and the innovation ends of the innovation support spectrum. In simple terms, the measures that support (pre-competitive) research within the university sector, whether that is strategic research programmes or competence centres, are narrower and more homogeneous in methodological terms: qualitative research methods predominate and the evaluation questions revolve around effectiveness (research quality and community engagement) rather than relevance or efficiency.

Figure 3: Differences in evaluation across science and innovation

Broad category	Key differences in evaluation approach
Support for non-competitive, strategic research	<p>Relevance is not a major focus for many of these studies, however where it is discussed it is usually a question of reviewing stakeholder’s current views on the continuing strategic importance of a given topic or theme</p> <p>Efficiency is more narrowly concerned with management efficiency, rather than value for money. In a minority of cases, there is also a question of sustainability, as regards the likelihood that a new centre for example might ultimately become self-financing</p> <p>Effectiveness is most often concerned with what might be called intermediate outcomes, which is to say the quality and international</p>

	<p>standing of supported researchers and research (and industrial engagement to a lesser degree). Qualitative research methods predominate, and peer review (panels of international academic and industrial experts) still sits centre stage for many evaluations, albeit expert judgement is almost always informed by a comprehensive mixture of contextual and operational statistics</p> <p>In addition to peer review, there are several techniques more in evidence here than in the proprietary innovation support schemes. Social network analysis appears to be emerging as a fashionable new tool, albeit with a deal of uncertainty as regards the calibration or interpretation of results from what is a relatively novel technique. By contrast, bibliometrics is used more widely and with greater confidence (in particular benchmarking a centre or region's performance against citation levels in the field). Several evaluations count different forms of IPRs, from invention disclosures to patents granted, but none of the studies had managed to normalise these data using EPO statistics for example</p>
<p>Support for proprietary research and innovation</p>	<p>Relevance is more of an open question as regards the needs and inclinations of any local business community, and studies may devote quite substantial efforts to exploring the need for and appropriateness of the proposed measure. Data collection may comprise desk research to map innovation activity or the provision of support as well as consultations and surveys to test opinion on both supply and demand sides</p> <p>Effectiveness is concerned primarily with determining programme impacts and in particular net economic benefits and internal rates of return (i.e. the net present value of the short and medium term benefits attributable to the public investment). There is a clear focus on quantitative research methods and economic impact in particular. This second (and much larger) cluster of evaluation reports is also more likely to devote especial effort to researching additionality (netting off any improvements that might have occurred in the absence of support to arrive at a sharper view of the benefits directly attributable to the policy measure) and wider economic impacts (through the economic multipliers associated with increased employment / wages and increased purchases within the region or country).</p> <p>There is some interest in determining intermediate effects, for example the behavioural additionality of a particular measure although this tends to be addressed through a single opinion survey and with no attempt to establish the persistence of such changes</p> <p>Questions about efficiency are prominent too, both operational efficiency (service quality) and overall efficiency (value for money of this scheme as compared with any practicable alternative policy option).</p> <p>The importance of testing for additionality means that control groups and simple econometric techniques (difference-in-difference methods) are also in evidence, as is the use of input-output statistics to estimate wider economic benefits (beyond the beneficiaries). The current methodological battleground is really concerned with the issue of knowledge spillovers, which by definition happen outside the immediate beneficiaries. Micro-economists are exploring the power of combining in-depth impact case studies with broadband surveys to profile awareness of new developments while macro-economists have been attempting to improve their ability to model the effects of changing compositions of R&D investments and labour markets</p>

By contrast, the innovation end of the spectrum – with its support for the proprietary activities of large numbers of actors – is much more focused on quantitative research methods and economic impact in particular. This second (and much larger) cluster of evaluation reports is also more likely to devote a special effort to researching the net benefits directly attributable to the policy support and wider economic impacts (through the economic multipliers of wages and purchases). Control groups and simple econometric techniques are also very much in evidence. Questions about efficiency are nearly always prominent too, both operational efficiency (service quality) and overall efficiency (value for money of this scheme as compared with any practicable alternative policy option).

2.4 T1b: Survey of ERDF Managing Authorities

2.4.1 Internet-based survey of 300+ Managing Authorities

The survey aimed to obtain information on a number of aspects concerned with the implementation and evaluation of innovation support measures operated at the regional level and with a specific focus on those measures which benefited from co-funding from the ERDF. As such, its primary purpose was two-fold:

- To identify and locate reports arising from the evaluation of ERDF co-supported innovation support measures and similar schemes operated at the regional level across the EU Member States;
- To identify potential examples of evaluation practice at the regional level that could provide the focus for the case studies element of the study.

As a secondary goal, and as a preliminary step towards the identification of representatives of the Managing Authorities who might provide information regarding the potential case studies, it defined a set of contacts for the planned telephone survey of MAs.

Lastly, it sought to gather information on the general situation concerning the state of evaluation of innovation support measures at the regional level.

The survey panel was developed from two major sources:

- Contacts suggested by DG REGIO
- Supplementary contacts provided by Technopolis.

In addition, a third set of contacts was generated from:

- Email responses generated by the receipt of the email invitation to participate in the on-line survey
- Suggested contacts identified from the early respondents to the on-line survey in direct response to a specific question asking for such information.

The online survey of MAs was launched on 21 April and was formally closed on Tuesday 31 May. The initial sample of 622 representatives of Managing Authorities who received an email invitation to complete the survey. A number of reminders were sent out and using language specific questionnaires and emails (ES, IT, FR, DE, PL) were sent out with a view to further increasing the response rate.

Overall, 671 MAs received an invitation to participate in the survey – the initial 622 plus another 49 who were identified in addition to the original set. Based on the number of sent-adjusted contacts, the survey achieved a response rate of 35.5%, which can be considered a very good result for a ‘cold-approach’ survey of this type.

According to the responses, 77% of the respondents have responsibility for the management/implementation of ERDF co-funded programmes or other schemes to support innovation activities while 70% of the respondents are responsible for commissioning or conducting evaluations of these programmes.

These response rates indicate that around three-quarters of the target audience was familiar with the implementation of ERDF co-funded programmes and similar innovation support measures and just below three-quarters also had familiarity with their evaluation. Thus, the majority of the respondents were relevant to the issues addressed by the survey.

A total of 442 evaluations were suggested as examples by the respondents (153): 39% of the respondents noted that their suggested evaluations belonged to programmes/schemes funded during the 2000-2006 programming period (or the 2004-2006 programming period in some New Member States), while 84% of the respondents noted that the evaluations they had suggested belonged to programmes/schemes funded or planned in the current 2007-13 period. Finally, 93.5% related to either the former or the latter period. Thus, not surprisingly, more of the evaluations provided as examples tended to be those that had been performed more recently. It should be noted that respondents were invited to propose up to six evaluations, thus it was possible for the suggested evaluations to belong to either or both of the relevant programming periods and, therefore, for the percentages indicated above to exceed 100% in total.

While the distribution of the types of measures associated with the evaluation reports tended to follow that which might have been anticipated (with a large proportion of direct funding type measures), there was a relatively equitable spread across all the measure types, with a very small residual group of un-categorised measures.

Generally, the data collection methodologies typically employed in the evaluation of the measures tended to follow that anticipated (i.e. the use of monitoring data and document searches, followed by interviews). As the use of monitoring data (i.e. data collected through the course of the measure) is a cost effective approach, as opposed to the collection of data *ab initio* during the evaluation process itself, this seems to suggest that the use of this appropriate methodology is widely adopted.

Similarly, the use of data analysis approaches also follows an anticipated pattern, with descriptive statistics and case studies being used most frequently. However, the relatively frequent use of more sophisticated approaches such as cost-benefit analysis, macro-economic models and social network analysis was quite surprising.

The types of barriers and issues associated with the application of evaluations to innovation support measures at the regional level were also along the anticipated lines, being mainly related to resources and capabilities/skills constraints (the latter both in-house and, to a lesser degree, in the available community of consultants). However, the reported high relevance of a lack of higher level demand for evaluation is somewhat concerning.

2.4.2 Telephone survey of targeted management authorities

The telephone survey took the form of a structured interview seeking to deepen and widen the insights gained from the broader survey of all 300+ MA.

The primary purpose of the telephone survey was two-fold:

- to identify the needs/ specific requirements of MAs in relation to a Guidance Document for the evaluation of innovation activities; and
- to identify relevant evaluations for in-depth case studies (corroborating the findings from the online survey of MAs and the literature review) which will be part of the final output of this study.

The secondary aims of the telephone survey were to

- investigate the experience of MAs in the evaluation of ERDF co-supported innovation support instruments in greater detail;
- elicit additional insights into strengths and weaknesses of different evaluation methods in relation to different types of innovation support; and
- identify MAs that would be potentially interested in participating in the workshop of MA officials as part of the study (to take place in Nov 2011).

Prior to the telephone interview, survey participants were sent an interview guide with an explanatory note outlining the key concepts and definitions (evaluation terms, innovation activities, etc.) in order to facilitate a coherent discussion. The telephone interview guide was reviewed and finalised in consultation with the Steering Group.

Whereas a pilot of the telephone survey with a small selection of MAs was not possible due to time constraints, the results obtained from the telephone survey indicate that the interview guide was clear and that questions asked were pertinent.

2.4.2.1 Selection process

The literature review and the broad-based online survey of 300+ MAs acted as a first filter enabling the study team to make a narrow selection of MAs for in-depth telephone interviews, from which it can in turn be best expected that the 15 case studies will be drawn.

Broadly speaking, the MAs selected for the telephone survey indicated a willingness to be interviewed in response to the online survey (33 MAs in total). This information was cross-checked with respondents who indicated that they had a relevant/ interesting good practice evaluation case. This is to say that, in order to improve the overall quality of the sample and to capture the most relevant “good practice” evaluations, the study team decided to proactively target MAs who did not necessarily indicate a willingness to participate in the telephone survey but who had indicated in the online survey that they have been involved in interesting evaluations.

In addition, the following broad criteria were used to inform the selection of the sample of 30 Managing Authority representatives to be interviewed:

- Evidence of reasonable experience in the management of ERDF co-funded programmes (or other schemes to support innovation activities) and the commissioning of their evaluations.
- Familiarity with the application of a broad range of evaluation methodologies.
- Evidence of a good level of engagement with the on-line survey.

As part of the selection process, particular care was taken to ensure a geographically balanced sample of interviewees. As proposed in the Inception Report, the study team opted to broaden the geographical coverage beyond the originally indicated seven countries in order to ensure an adequate coverage of relevant evaluation materials and issues. The full country coverage can be seen in Table 5 below.

2.4.2.2 Final list of targets for telephone survey

The shortlist for the telephone survey initially included 30 MAs from a total of 23 Member States, with a further 11 MAs included for “reserve” in case the primary targets are not available. Out of this original list, 29 MAs were interviewed from a total of 22 Member States.

The final list of interviewees (included in Appendix C) was approved by DG REGIO prior to the launch of the survey.

2.4.2.3 Overview of results (no. of participants, countries, etc.)

Interviews for the telephone survey took place between 6-17 June. From the original list of 30 MAs a total of 29 MAs could be contacted / were available for interview. This list covered a total of 22 Member States. In the vast majority of cases telephone interviews were conducted in the national languages of the Member States.

2.4.2.4 Main findings/ insights gained from telephone survey

As mentioned above, the telephone survey had two main purposes: Firstly, to inform the study team’s work on the Guidance Document and build up evidence about what the document should contain, i.e. identifying the key issues that MAs need guidance on and where they have most difficulties in running evaluations. Secondly, the telephone survey was intended as a second stage of the filter process for case studies, hence findings from the telephone survey will be corroborated

with the results of the broad based online survey and the literature review to reach a final selection of case study evaluations.

Guidance document

An analysis of survey responses (in particular questions 3.4, 7.2, and 5.5)² suggests that MAs can be broadly grouped into two categories in terms of the perceived value and benefits of a Guidance Document for the evaluation of innovation measures.

- Group 1: A small minority of MAs consider that a Guidance Document would not have significant added value. This is either because the necessary expertise and required guidance exists in-house, or because innovation support is seen as a complex and heterogeneous field where no generic guidance is deemed possible/ realistic. In addition, one MA suggested that the focus should be on training and workshops for MAs rather than creating further specific guidelines on evaluation of innovation support.
- Group 2: The vast majority of MAs indicated that they have varying degrees of experience with evaluation of innovation measures, however, specific guidance for the evaluation of innovation support is missing at present and a Guidance Document is perceived as potentially useful.

Survey responses show that the vast majority of Managing Authorities currently use general evaluation guidelines provided by the European Commission, with DG REGIO's EVALSED guide being quoted as the standard reference, while a number of MAs also use general guidelines on evaluation or in-house guides which are consistent with the EC guidelines. At the same time, it is evident that all of the MAs interviewed currently lack evaluation guidance related specifically to innovation support.

A few interviewees suggested that a Guidance Document on evaluation of innovation support would likely be of little added value due to the perceived complexity and heterogeneity of operational programmes and because a Guide is unlikely to accommodate the specific needs of different MAs. These interviewees took the view that evaluations of innovation support are best developed by external consultants who are able to design and apply specific methodologies. At the same time, a small number of interviewees expressed a preference for additional training and seminars organised by the European Commission as the best way of building the required skills and expertise for evaluation of innovation measures.

When asked about the common shortcomings of current evaluation practice in the field of innovation support, a number of MAs highlighted the general lack of institutional competence and expertise in the various evaluation and analytical methods. In particular, it was pointed out that evaluation officers have limited experience of evaluation in general and/ or lack specific methodological guidance for the evaluation of innovation support and that consequently innovation is evaluated like every other support measure (using the same questions and the same methodology). A few interviewees also considered that officials currently lack the competence for analysing complex innovation policy which also hinders their ability to comprehend the methodologies required for evaluating innovation support. On a broader point, a few interviewees suggested that one of the main shortcomings of current evaluation practice is the lack of analysis on why an innovation policy is working. In the words of one MA official, "Evaluations focus just on whether an innovation policy is successful or not, without paying any attention to the explanation of the underlying mechanisms generating these successes."

Concerning interviewees' expectations vis-à-vis an evaluation guidance document, the following elements were quoted most frequently as being desirable:

² Q3.4. Do you have an evaluation handbook or guidelines (and if so, does it contain specific guidance for evaluations of innovation measures)?

Q7.2 What would you expect from an evaluation guidance document? What are the key elements that should form part of such a practical guidance document?

Q5.5. What would you consider are the common/ general shortcomings of current evaluation practice in the field of innovation support?

- A guidance document should include good practice examples of evaluations of different types of innovation support so that MAs can learn from the experience of other countries/ regions. Summaries of evaluations of innovation support should have information on the substance of the evaluation, the process, the methods used and the outcomes/ effects on policy making.
- A guidance document should focus on specific methods and explain which methodological approaches, tools and indicators are most relevant and appropriate for the evaluation of different types of innovation support measures. It should transfer methods used in evaluation in general to innovation activities and clearly explain the benefits and limitations of each method in different contexts.
- A Guidance Document should ideally include guidance on evaluating specific types of innovation measures and not only innovation support in general. It should provide practical guidance on the selection of the most appropriate methodological tools for different types of innovation support.

In addition to the above, expectations relate to the following main criteria:

- Accessibility – The Guidance Document should be user-friendly, concise and written in clear and accessible language. It should be available online with the option to print all or parts of the Guide, and should be translated in different EU languages.
- Relevance – The Guide should include good practice examples that showcase how a good evaluation helps the MA to achieve better impact. The Guide should focus on the particular requirements of Managing Authorities as opposed to those of evaluators.
- Usability – The Guide should provide practical guidance and suggestions for the design and implementation of evaluations of innovation support. It should be specific and go beyond generic examples and theoretical frameworks. (A few MAs perceive the general EC evaluation guidelines as very generic which in their view limits their applicability in daily practise.)
- Consistency – Care should be taken to ensure that the definitions and terminology used in the Guide are consistent and compatible with those used in other EC guidelines.

It was also suggested that the Guide should ideally be complemented by online training sessions to explain how to use the tools and methods outlined in the Guide in practice.

One MA suggested that the Guide should usefully be discussed among DG Regio, DG Research and DG Enterprise and possibly with the OECD in order to reach common agreement on methods and terminology prior to circulation to the Managing Authorities.

In addition, a small number of MAs also considered that a benchmark of evaluation practices across European regions in the field of innovation support would be a useful addition to the Guidance Document. The benchmark should include good and bad practices in order to detail the difficulties encountered in evaluation innovation support measures.

Finally, one MA official suggested that guidance on how to establish regional innovation scoreboards should be included in a guide (e.g. Aquitaine has developed a multi-funding regional scoreboard, and this could also be done specifically for innovation support measures).

Case studies

The telephone survey yielded information on a number of evaluations carried out by MAs that were regarded as being “good practice” cases by interviewees.³ There are gaps in the information on individual evaluations due to variations in the level of detail provided by interviewees, but follow up/ further investigation will be undertaken where necessary.

³ Q.5 We have a list of your evaluations of innovation support (derived from the on-line survey), which of these, if any, would you see as being ‘good practice’ or an example for a case study, in terms of methodological tools or the evaluation process?

technopolis_[group]

The following list has been cross-checked with the information that was compiled through the literature review and the online survey and has fed into the selection of evaluations for case studies (see 2.5).

Table 5 Potential case study evaluations from telephone survey

Country	Title	Year	Evaluator	Mentioned in online survey	Report publicly available	Why do you consider it good practice?
CZ	Evaluation of economic impacts and setup of programme criteria of programmes Innovation, Cooperation (Clusters) and Potential	2011	DHV	No	<i>In late 2011</i>	<ul style="list-style-type: none"> Detailed micro-level analysis of beneficiaries, explaining how firms benefit from the funding Use of statistical databases (Czech Statistics Institute) Use of results from IS VaV (publicly managed Information System of R&D) Good balance of qualitative and quantitative indicators <p>Weaknesses/ limitations:</p> <ul style="list-style-type: none"> No attempt to link micro-level analysis to macro indicators (GDP etc.) No counterfactual analysis due to small control group size
DE	Evaluierung der Berliner Innovations- und Technologieförderung der Senatsverwaltung für Wirtschaft, Technologie und Frauen	2010	PwC	Yes	Yes	
DE	<i>Ongoing evaluation</i>	<i>ongoing</i>		No	<i>ongoing</i>	<ul style="list-style-type: none"> Evaluation questions are very balanced Three large surveys of beneficiaries with high response rate Good quantitative analysis Good mix of qualitative (expert interviews) and quantitative data (large scale surveys)
FR	Evaluation des actions soutenues par le FEDER en faveur des TIC	2010	Edater	Yes	<i>Pending approval</i>	Evaluation of ICT actions co-financed by the ERDF: operational evaluation focusing on the development of access to the information society and on the use by individuals, organisations and public administration and enterprises, as well as on the development of new services.
FR	Evaluation of the ERDF/CPER-Innovation, Research and technology transfer (Evaluation du Contrat de projets Etat-région et du PO Compétitivité régionale et emploi FEDER – Innovation, recherche et transfert de technologie)	2010	Technopolis	Yes	Yes	But lacked operational recommendations and concrete proposals for reforms

HU	Ex-post evaluation of three measures of the Economic Competitiveness Operational Programme		KPMG	No	Yes	<ul style="list-style-type: none"> Mix of data collection methods, including surveys of beneficiaries and non-successful applicants and an interview programme Mix of analysis methods, including descriptive statistics and a pilot econometric analysis on the three measures individually
IE	Evaluation of BMW Regional Programme of Innovative Actions	2009	Fitzpatrick Associates	Yes	Yes	
IT	Analisi degli strumenti a supporto della R&S delle imprese	2011	Irpet	Yes	End of July 2011	<ul style="list-style-type: none"> Use of counterfactual analysis Strong quantitative approach
LU	Mid-term evaluation of the 2000-2006 programme		ECAU/ADE	No	Yes	Evaluation dealing with several important areas: economic aspects, practices from the managing authority, the results and impacts of the projects, the control processes, etc.
PL	Assessment of effects of ZPORR (Integrated OP on Regional Development, actions 2.5, 3.4) and SPO WKP (Sectoral OP "Improving enterprise competitiveness) on SMEs in Zachodniopomorskie region, notably in area of improving innovativeness and competitiveness (Ocena efektów wspierania środkami ZPORR (działania 2.5, 3.4) i SPO WKP (działania 1.2.1, 1.2.2, 2.2.1, 2.1, 2.3) sektora MŚP w województwie zachodniopomorskim, ze szczególnym uwzględnieniem wzrostu innowacyjności i konkurencyjności)	2010	Marshal Office of Western Pomerania Voivodeship (Europejskie Centrum Doradztwa Finansowego Badania i Szkolenia sp. z o.o.)	Yes	Yes	This is a reliable and high quality evaluation if it comes to methodological tools and the evaluation process in general in the context of innovation.
PT	The complementarity Innovative Economy Programme projects with other projects		PSDB	No		<ul style="list-style-type: none"> overall solid methodology because of the lack of data, the research approach was “a path to the target”, meaning that the research area was narrowed to a group of projects that were finally the subject of the evaluation
PT	<i>Evaluation of loan funds</i>	2009	PAG Uniconsult	No		<ul style="list-style-type: none"> overall solid methodology evaluator managed to get data for the customers of the loan funds which was particularly difficult to obtain aim of the evaluation was to analyse the effects of support at the level of funds as well as at the level of the customers of the funds

UK	<i>Feasibility study on use of control groups in impact assessment</i>			No	Yes	<ul style="list-style-type: none"> • Propensity score match (matching survey and indicators to another dataset using statistical matching) • Use of counter-factual analysis • The study influenced the monitoring indicators
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2.5 Task 2a: Case studies of 15 evaluations

As noted above, a number of potential case studies were identified through the literature review and (telephone) survey. Table 6 presents the final list of case studies which was approved by the client following the SG meeting on 13 July.

As was suggested by the SG, the primary criterion for inclusion in this shortlist is the quality of the evaluation and how it could usefully contribute to the guidance document. In selecting the case studies, the study team also tried as far as possible to ensure a ‘balanced distribution’ using the following criteria:

- At least one case for each type of measure
- A geographical balance across Member States taking into account size, level of economic development (Convergence versus Regional Competitiveness) and innovation potential (e.g. based on European Innovation Scoreboard ranking).
- Ensuring that the methods identified for collection and analysis are covered (across all cases).

In regards to the first point, it must be noted that it was not possible to include evaluations covering the full range of support measures as originally intended. The reason for this is that the primary criterion for the selection of case studies was the actual quality of the evaluations and the insights that one could expect to gain from them through closer examination. Preference was therefore given to evaluations that were identified as constituting good practice, i.e. where the analytical approach and methods are of interest and can be expected to yield valuable insights into the evaluation of similar support measures.

While it is not possible to say whether the case study selection reflects the actual relative prominence of certain types of support measures, the study team believes that it provides a solid basis for a robust examination of evaluation methods and practices for these common types of support measures.

The following types of support measures are covered by the final selection of case studies:

- Direct financial support for innovation activities
- Intermediary bodies
- Networks & clusters
- Strategic research
- Science-industry cooperation

The types of support measures that were listed in the categorisation but are not covered by the case study selection (for the aforementioned reasons) are:

- Innovation management support and dissemination
- Start-ups and Spin-offs
- Support for the development of ICT

Given the comments at the first steering committee on the need for a broad understanding of innovation activities, it is recognised that that the list is composed of ‘classic’ R&D and innovation measures. Based on the online survey and telephone interviews, a small number of evaluations of other types of innovation measure were identified (e.g. “Support for the development of ICT” – see section 1.2. of the literature review). However, it was not possible to identify a sufficient number of cases. The study team remains open to the possibility to include specific additional evaluations proposed by the Commission services represented in the steering committee.

Table 6 Shortlist of case study evaluations

of evaluation	Country	Shortlist	Commissioning body	Year (final report)	evaluation of ERDF supported innovation activity?	Type of measure	Methods used	Comments/ judgement on quality & reasons for selecting this evaluation for case study
Austrian Genome Research Programme (GEN-AU): Mid Term Programme Management Evaluation	AT	Yes	Federal Ministry for Education, Science and Culture	2005	NO	Strategic research; Networks & clusters	<ul style="list-style-type: none"> • Baseline and performance target • Descriptive statistics • Survey of beneficiaries • Scientometrics • Stakeholder consultation • Case studies • Social network analysis • Logic chart analysis 	The evaluation features social network analysis and logic chart analysis.
A look into the Black Box: What difference do iWt R&D grants make for their clients? (IWT grants for R&D projects of companies in Flanders)	BE	Yes	Agency for Innovation by Science and Technology (IWT)	2006	NO	Direct financial support for innovation activities	<ul style="list-style-type: none"> • Baseline and performance target • Descriptive statistics • Survey of beneficiaries • Counterfactual analysis • Stakeholder consultation • Case studies 	In-depth assessment of the <i>behavioural</i> additionality of the measure using control groups.

Assessment of economic effects and the setup of the programme conditions of programmes Innovations, Cooperation and Potential OPEI (<i>not published yet</i>)	CZ			2011	YES	Networks & clusters	<ul style="list-style-type: none"> • Descriptive statistics • Survey of beneficiaries • Counterfactual analysis • Stakeholder consultation 	<ul style="list-style-type: none"> • Detailed micro-level analysis of beneficiaries, explaining how firms benefit from the funding • Use of statistical databases (Czech Statistics Institute) • Use of results from IS VaV (publicly managed Information System of R&D) • Good balance of qualitative and quantitative indicators <p>Weaknesses/ limitations:</p> <ul style="list-style-type: none"> • No attempt to link micro-level analysis to macro indicators (GDP etc.) • No counterfactual analysis due to small control group size
Evaluierung der Berliner Innovations- und Technologie-förderung der Senatsverwaltung für Wirtschaft, Technologie und Frauen	DE	Yes	Senatsverwaltung fuer Wirtschaft, Technologie und Frauen	2010	YES	Direct financial support for innovation activities	<ul style="list-style-type: none"> • Descriptive statistics • Benchmarking programme design and operations • Survey of beneficiaries • Economic modelling • Stakeholder consultation • Case studies 	In addition to evaluating the five measures / programmes in question, the evaluation also assesses the linkages and interplay between the measures. The evaluation features a combination of quantitative (analysis of administrative data; online survey of beneficiaries) and qualitative (in-depth interviews; case studies) data collection and analysis methods. In assessing the impact of the measures, the evaluation distinguishes between an analysis of the achievement of immediate results in terms of the funding provided, a micro-economic analysis, and a macro-economic analysis.
Analysis of Firm Growth Effects of the Danish Innovation Consortium Scheme	DK	Yes	Danish Agency for Science, Technology and Innovation	2010	NO	Science-industry cooperation	<ul style="list-style-type: none"> • Baseline and performance target • Descriptive statistics • Counterfactual analysis • Economic modelling 	The evaluation analyses the effects of measure on employment creation and gross profit increase for beneficiary firms based on firm-level data. Additionality is assessed through use of a control group of non-beneficiaries which is matched to the profile of beneficiaries (in terms of size, industry and region).

The impact of the state's enterprise supports on the competitiveness of Estonian economy	EE	Yes	Ministry of Economic Affairs and Communications	2010	YES	Intermediary bodies	<ul style="list-style-type: none"> • Baseline • Descriptive statistics • Survey of beneficiaries • Counterfactual analysis • Stakeholder consultation 	This evaluation assesses the additionality of the enterprise support measures provided by two intermediary bodies (EAS and KredEx) through a counterfactual analysis involving a survey of enterprises who received support and a control group of non-beneficiaries. The adequacy of enterprises' self-assessment was controlled by linking survey responses to the real economic indices of the enterprises.
Impact Evaluation of Finnish Programmes for Centres of Excellence in Research 2000-2005 and 2002-2007	FI	Yes	Academy of Finland	2009	YES	Science-industry cooperation	<ul style="list-style-type: none"> • Descriptive statistics • Benchmarking programme design and operations • Survey of beneficiaries • Stakeholder consultation • Case studies 	The ex-post evaluation assesses the impact of the CoEs programme on the different types of participants (academics, businesses and host organisation) through descriptive statistics of monitoring data of individual centres, coupled with a series of interviews and a survey of beneficiaries. It makes use of a counterfactual approach, interviewing researchers that were not involved in the CoEs. An international perspective is introduced with interviews specifically targeting foreigners having worked at a Finnish CoE.
Evaluation of the ERDF/CPER-Innovation, Research and technology transfer (Evaluation du Contrat de projets Etat-région et du PO Compétitivité régionale et emploi FEDER – Innovation, recherche et transfert de technologie)	FR	Yes	SGAR de la Préfecture de Région Franche-Comté; Conseil régional Franche-Comté	2010	YES	Direct financial support for innovation activities	<ul style="list-style-type: none"> • Prescribed indicators • Survey of beneficiaries • Stakeholder consultation 	The evaluation primarily concerns the effectiveness of the programme to date and its future design and improvement. The key evaluation questions were: <ul style="list-style-type: none"> • Coherence between the OP ERDF and the CPER? • What has been done in terms of innovation, research and technology transfer over the first half of the 2007-2013 period? • What is the progress in terms of programming? • Future opportunities?
Ex-post evaluation of three measures of the Economic Competitiveness Operational Programme	HU	Yes	Unknown	2010	YES	Multiple categories	<ul style="list-style-type: none"> • Benchmarking performance • Survey of beneficiaries • Counterfactual analysis • Economic modelling 	The report uses a mixture of data collection methods (including surveys of beneficiaries and non-successful applicants and an interview programme) and analysis methods (including descriptive statistics and a pilot econometric analysis on the three measures individually).

Value for Money Review of the Science Foundation Ireland	IE	Yes	Department of Enterprise Trade and Employment	2008	NO	Strategic research	<ul style="list-style-type: none"> • Prescribed indicators • Descriptive statistics • Benchmarking programme design and operations • Peer review • Survey of beneficiaries • Economic modelling • Scientometrics • Stakeholder consultation • Other (Impacts, complementarities and linkages; site visits) 	Relatively large study using a broad mix of methods; provides a good review of two programmes run by the Science Foundation, including assessment of programme effectiveness and impact and overall value for money achieved.
Analysis of the impact of the Dutch innovation voucher on innovative inputs and innovative output of companies (The effectiveness of the innovation voucher 2004 and 2005 Impact on innovative inputs and innovative output of companies)	NL	Yes	CPB Netherlands Bureau for Economic Policy Analysis	2007	NO	Science-industry cooperation	<ul style="list-style-type: none"> • Survey of beneficiaries • Counterfactual analysis • Economic modelling • Other (impact analysis) 	Based on a survey of beneficiaries (SMEs that applied for an innovation voucher), this evaluation assesses the effect of the measure on improvements in production processes, product innovation, product improvements, and process innovation.
Assessment of effects of ZPORR (Integrated OP on Regional Development, actions 2.5, 3.4) and SPO WKP (Sectoral OP "Improving enterprise competitiveness) on SMEs in Zachodniopomorskie region, notably in area of improving innovativeness and competitiveness (Ocena efektów wspierania środkami ZPORR (działania 2.5, 3.4) i SPO WKP (działania 1.2.1, 1.2.2, 2.2.1, 2.1, 2.3) sektora MŚP w województwie zachodniopomorskim, ze szczególnym uwzględnieniem wzrostu innowacyjności i konkurencyjności)	PL	Yes	Marshal Office of Western Pomerania Voivodeship	2010	Yes	Direct financial support for innovation activities	<ul style="list-style-type: none"> • Baseline • Descriptive statistics • Benchmarking programme design and operations • Benchmarking performance • Survey of beneficiaries • Stakeholder consultation • Case studies • Other (e.g. a focus group) 	<p>According to the telephone survey respondent, "this is a reliable and high quality evaluation if it comes to methodological tools and the evaluation process in general in the context of innovation."</p> <p>The methodology is actually based on different research methods, including desk research, structured individual interviews, expert interviews, CATI, case study and a focus group. In the course of the study, the evaluation team collected the information from different stakeholders. All this ensured that the evaluation results are not biased. Particularly, it is interesting that the evaluators included in their assessments comparison of initial applications for funding with the information presented in the final implementation reports of completed projects.</p>

Mid-term evaluation Of the Swedish National Incubator Programme	SE	Yes	VINNOVA (Swedish Governmental Agency for Innovation Systems)	2008	NO	Intermediary bodies	<ul style="list-style-type: none"> • Descriptive statistics • Benchmarking programme design and operations • Benchmarking performance • Peer review • Stakeholder consultation • Case studies 	Very good standard of evaluation done by an international expert panel.
Economic impact assessment of the West of Scotland Science Park (WSSP)	UK		Scottish Enterprise	2009	YES	Intermediary bodies	<ul style="list-style-type: none"> • Prescribed indicators • Baseline • Descriptive statistics • Benchmarking performance • Survey of beneficiaries • Counterfactual analysis • Stakeholder consultation 	<p>A range of information was collected to provide insights into deadweight, displacement, substitution, leakage, multiplier effects, the answers to which were used to calculate the economic impact – or additionality - of WSSP, based on survey. The answers were derived from questions like: What would have happened to your average annual turnover/total employment if you had not been able to secure suitable premise at this location? What would have happened to your average annual turnover/total employment if you had not received any assistance from the SE? As a percentage how much different do you think your average turnover/total employment would have been?</p> <p>The evaluation also involved economic modelling / economic impact assessment, including gross and net turnover, employment, and GVA contribution.</p>
Evaluation of Grant for Research and Development & SMART	UK	YES	London Development Agency (LDA); Department for Innovation, Universities and Skills (DIUS)	2009	NO	Direct financial support for innovation activities	<ul style="list-style-type: none"> • Baseline • Descriptive statistics • Survey of beneficiaries • Counterfactual analysis • Stakeholder consultation • Other (impact analysis) 	<p>Evaluation assessing the economic and behavioural additionality of the schemes through counterfactual analysis (using beneficiary survey and control group) as well as the wider economic impacts and cost-effectiveness of the schemes. It concludes that the schemes have been positive and effective in relation to both their intermediate and their longer-term objectives.</p>

3. Next steps

3.1 Task 2b: Case study interviews and preparing the case study reports

Following receipt of comments from the SG on the Draft Interim Report, the study team has revised the case study interview pro-forma and reporting template (appended to this report). In addition, the SG approved a final selection of 15 case study evaluations. The study team is now in the process of interviewing representatives of the Managing Authorities, evaluators and relevant stakeholders and interviews will be completed in early September.

3.1.1 Preparing the fieldwork

The first step in the case study preparation will be drafting the case study report sections which will be based on a review of information gathered through the literature review and the online and telephone surveys of MAs. The authors have received the approved reporting template from the core team with the lead questions for interviews (interview pro-forma) as well as the general fieldwork guidelines. The case study authors are responsible for organising the fieldwork; the core study team is coordinating and supporting the process where necessary (e.g. by providing main contacts, cover letters etc).

3.1.2 Conducting the interviews

The case studies will be based on information gathered through face-to-face interviews with the relevant stakeholders as well as additional phone interviews. The authors have been encouraged to interview various stakeholders including:

- Regional policy maker active in the area of innovation support
- The desk officer responsible for the evaluation at the Managing Authority
- The external evaluator
- If feasible, a representative of regional stakeholders concerned with the measure evaluated (e.g. innovation agencies, business associations represented in the OP Steering Committee etc).

3.1.3 Preparing reports and descriptive fiches

The authors have been advised to prepare the draft final reports and “evaluation fiche” immediately after completing the fieldwork. The drafts will be quality reviewed by the core team. The final drafts will be shared with the EC for further comments. The study team will ensure that all relevant information drawn from the case study interviews and evaluation fiches is shared internally and that information is seamlessly integrated to make sure that the experience gained from conducting the case studies feeds the final report and guidance document.

3.2 Task 4: Final Reporting

The final report will be produced as a high quality (English) deliverable including a publishable stand-alone executive summary in the form of a policy brief and a professionally designed PPT presentation adopting (if so required) the DG REGIO corporate identity.

As proposed in the inception report, the final report will be structured as follows:

- Executive summary (5 pages) – also delivered as a stand-alone file (translated into French and German)
- Introduction (5 pages) – objectives, scope, methodology and context of the study
- Evaluating publicly funded innovation activities: state of the art (20 pages)

- A short overview of main methods and good practice in evaluation of research and innovation policies
- Experience and current practice in the evaluation of innovation activities in the EU Structural Funds: results of the literature review and survey (key quantitative and qualitative findings).
- Main challenges for improving evaluation of innovation activities
- Comparative review of methods - pros-and-cons (20 pages)
 - Summary of lessons from the case studies :
 - Structured discussion of the application of the various methods vis-à-vis different forms and types of evaluation and measures. Illustrated with boxed examples from the literature review/case studies.
 - Evaluation in practice: key operational issues that influence evaluation design and delivery, applicability of specific methods given data availability or cost constraints, institutional capacities, training of evaluation professionals, etc.
- Conclusions: summary of key findings merging the conclusions from the literature review with the more operational issues arising from the survey and case studies (3 pages).

Annexes:

- 30 page guidance document (in English, translated into French, German, Polish and Spanish)
- 15 'good practice' evaluation fiches (ready for web publishing)

A proposal for the structure (outline content and format) of the guidance document will be submitted in the monthly report at end of August 2011, by which time the case studies should have enabled a better appreciation of the core issues on which the guide should focus.

Appendix A Literature review analysis paper (Task 1a)

**Appendix B Analysis of online survey of 300+ Managing Authorities
(Task 1b)**

Appendix C Participants in telephone survey of targeted Managing Authorities (Task 1b)

Table 7 Telephone survey participants

Country code	Country	Number of interviews	Name	Managing Authority or other regional body
AT	Austria	1	Doris Schnitzer	Amt der Vorarlberger Landesregierung, Abteilung PrsE-Europaangelegenheiten - Verwaltungsbehörde für das OP Regionale Wettbewerbsfähigkeit Vorarlberg 2007-2013
BE	Belgium	1	Véronique Lesne	Directorate for Animation and Evaluation within the Department for the Coordination of Structural Funds of the Walloon Public Service (Managing Authority ERDF Wallonia, Belgium)
CY	Cyprus	1	Toula Patsali	Planning Bureau – Managing Authority for the Structural Funds and the Cohesion Fund in Cyprus
CZ	Czech Republic	1	Petr Porak and Ondra Ptacek	Department of Implementation of Structural Funds – Ministry of Industry and Trade of the Czech Republic (Managing authority of ERDF co-funded Operational Programmes)
DE	Germany	2	Tamara Fischer	Senatsverwaltung für Wirtschaft, Technologie und Frauen Berlin, EFRE-Verwaltungsbehörde
			Peter Handmann	Verwaltungsbehörde Sachsen für den EFRE
DK	Denmark	1	Thomas Tandskov Dissing	Danish Enterprise and Construction Authority (Managing Authority)
EE	Estonia	1	Indrek Reimand	Ministry of Higher Education and Research of Estonia
ES	Spain	2	Jose Luis Kaiser	Direccion General de Fondos Comunitarios
			Juan Llanes	Government of Cantabria
FI	Finland	1	Marikki Järvinen	Finnish Ministry of Employment and the Economy
FR	France	2	Laurent Caillaud	SGAR- Préfecture de la Région Aquitaine
			Guillaume Rotrou	SGAR- Préfecture de la Région Franche-Comté
GR	Greece	1	Angeliki Fetsi	Programming and Evaluation of OP – Competitiveness - MA: Ministry of Regional Development and Competitiveness (Special Management Service)
HU	Hungary	1	Peter Szürszabó	National Development Agency, Coordinating Managing Authority, Evaluation Unit
IE	Ireland	1	Michael O'Brien and Kieran Moylan	Border, Midland & Western Regional Assembly
IT	Italy	2	Tito Bianchi and Marco De Maggio	Ministero per lo sviluppo economico, Unità di valutazione degli investimenti pubblici, Dipartimento per lo sviluppo e la coesione economica
			Albino Corporale	Tuscany Regional Authority
LT	Lithuania	1	Agne Paliokaite	Public Policy and Management Institute, Lithuania
LU	Luxembourg	1	Romain Weisen	Ministry of Economy of Luxemburg (Managing Authority ERDF Luxembourg)
PL	Poland	3	Małgorzata Rudnicka	Marshal Office of the Mazowieckie Voivodeship

			Monika Lemke	Marshal Office of the Zachodniopomorskie Voivodeship
			Tomasz Kula	MA for PO IG (the Innovative Economy Programme)
PT	Portugal	1	Joaquim José de Pina Antunes Bernardo	National Strategic Reference Framework (NSRF) Observatory
RO	Romania	1	Pompilia Idu	Ministry for Regional Development and Tourism, Managing Authority for Regional Operational Programme
SE	Sweden	2	Ingela Wahlgren	Swedish Agency for Economic and Regional Growth
			Göran Brulin	Swedish Agency for Economic and Regional Growth
SI	Slovenia	1	Iba Živa Zupančič	Government Office of the Republic of Slovenia for Local-Government and Regional Policy
UK	United Kingdom	1	Kathryn Helliwell	Welsh European Funding Office, Welsh Government.
	TOTAL	29		

Appendix D Questionnaire for online survey of 300+ Managing Authorities

DG REGIO on-line survey - Live survey 1

START

Evaluation of innovation activities co-financed by the ERDF

Dear,

Technopolis Group and the Manchester Institute of Innovation Research (MIOIR) have been commissioned by the European Commission DG REGIO to undertake a study of evaluation activities related to innovation support instruments co-funded by the European Regional Development Fund (ERDF).

The overall objective of the study is to examine the methods applied to evaluating the effects of publicly funded innovation activities and to suggest relevant methods, or a combination of them, for the most common innovation activities supported by the ERDF.

The specific objectives are "to provide a state of the art of the evaluation of innovation in Member States, provide an analysis of the advantages and limits of available methodologies for assessing different kinds of innovation activities, conduct 15 case studies on good quality evaluations, and draft guidance for managing authorities to support their evaluation activities".

The results of this study will feed into the guidance on evaluation that DG REGIO will issue to prepare the next programming period for Cohesion Policy and the Evalsed website which provides guidance on the evaluation of socio-economic development.

For the purpose of this study, "innovation activities" can be considered as those supported by the ERDF programmes under the Convergence, Regional Competitiveness and Employment and European Territorial Co-Operation Objectives (cross-border cooperation programmes only) according to the Community strategic guidelines on cohesion. I

n order to ensure the maximum input of this study, I would very much appreciate your investment of a short amount of time (15-20 minutes) in completing this brief questionnaire which will form an important input for the preparation of future guidance on evaluations to be made available to all ERDF management authorities.

All responses will be treated confidentially and only aggregated data will be included in reporting.

Yours sincerely

Veronica Gaffey

Acting Director

For further information on this survey, please contact: Paul Cunningham, MIOIR (paul.cunningham@manchester.ac.uk)

For further information on the study, please contact: Alasdair Reid, Technopolis Group Belgium (alasdair.reid@technopolis-group.com)

Marielle Riché, Directorate General Regional Policy, Evaluation Unit(marielle.riche@ec.europa.eu) is responsible for this study in the European Commission.

The study Terms of Reference (No. 2010.CE.16.o.AT.075) are available on the Inforegioweb site: http://ec.europa.eu/regional_policy/tender/tender_en.htm

PLEASE COMPLETE THE SURVEY BY FRIDAY 13th MAY - THANK YOU!

Q1 Please give your full name

First name

Surname / family name

Q2 If you work for a Managing Authority or other regional body, please give its name in the box below

Q3 If you work for a non-regional organisation, please give its name in the box below

Q4 Please indicate the country and region for which you are responding

Q5 Do you have responsibility for the management/implementation of ERDF co-funded programmes or other schemes to support innovation activities?

- Yes
- No

Q6 Are you responsible for commissioning or conducting evaluations of ERDF co-funded programmes or other schemes to support innovation activities?

- Yes
- No

Q7 If no, do you know any evaluations of innovation activities of the same kind as those supported by the ERDF, either in your region or your country?

- Yes
- No

Q8 For which programmes were these evaluations conducted? (Please tick all that apply)

- For programmes/schemes funded during the 2000-2006 programming period (or the 2004-2006 programming period in some New Member States)
- For programmes/schemes funded or planned in the current 2007-13 period

Q9 Please indicate the title(s) of the relevant evaluation(s), the year in which it was undertaken, the name of the organisation or expert which undertook it, the url where a copy can be downloaded (if available). Note: please give the name of the evaluation in your national language unless an English-language translation is available.

	Evaluation Title (1)	Year completed (2)	Evaluator (organisation name) (3)	URL (if available electronically) (4)
Evaluation 1				
Evaluation 2				
Evaluation 3				
Evaluation 4				
Evaluation 5				
Evaluation 6				

Q10 Please also indicate any of the evaluations that you consider to be the most useful/important or interesting for gaining policy insights or which might be considered as examples of good practice. Please tick the relevant box(es).

Q11 Please indicate, for each evaluation listed above, the type of innovation support to which it was applied. For a comprehensive description of the typology of innovation support intervention click [here](#).

	Direct financial support for innovation activities	Innovation management support and dissemination	Intermediary bodies, agencies etc.	Creation of Start-ups and Spin-Offs	Networks & Clusters, collaboration and Technology /Knowledge Transfer	Promotion of science - industry cooperation	Support for the development of ICT	Other innovation support measures (please specify below)
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Q12 If you answered 'other innovation support measures' in the previous question, please list them here:

Q13 The following is a list of the typical data collection methods used in evaluations. Please tick the most commonly used approaches in the evaluation of ERDF co-funded programmes or other schemes to support innovation activities in your region. You may select as many as are relevant.

- Use of existing monitoring data collected during programme lifetime
- Use of existing surveys or databases

Generally collected for purposes external to the evaluation and the measure (e.g. Community Innovation Survey data, opinion polls, business expenditure surveys, etc.)

- Document and literature searches
Use of documents and literature directly or indirectly related to a programme. May include, for example, administrative manuals, application forms, assessment forms, existing evaluation reports and broader policy reports.
- Participant interviews
Interviews (either face-to-face or by telephone) conducted with those who have participated in a measure (e.g recipients of funding) or those who have benefited from the activities or services provided by a measure. May involve a structured interview format but allows scope for investigating issues that arise during the interview itself.
- Non-participant interviews
Interviews (either face-to-face or by telephone) conducted with those who have not participated in a measure (e.g recipients of funding) or who have not benefited from the activities or services provided by a measure. May involve a structured interview format but allows scope for investigating issues that arise during the interview itself.
- Participant surveys
Surveys conducted with the participants or beneficiaries of a measure. Usually involve the completion of a structured questionnaire (paper or on-line).
- Non-participant surveys
Surveys conducted with those who have not directly participated in, or are not the main intended beneficiaries of, a measure. Usually involve the completion of a structured questionnaire (paper or on-line).
- Focus groups, workshops, group meetings, etc.
A small panel of people selected for their knowledge or perspective on a topic of interest, brought together to discuss the topic with the assistance of a facilitator. The discussion is used to identify important themes or to construct descriptive summaries of views and experiences on the focal topic.
- Peer reviews
Evaluation or assessment of programme activities or programme outcomes/outputs involving qualified individuals within the relevant field.
- Bibliometric or patent database studies
Searches of scientific publications (and sometimes their citations) and patents from bibliometric and patent databases.
- Other data collection methods (please specify)

Q14 The following is a list of the typical data analysis methods used in evaluations. Please tick the most commonly used approaches in the evaluation of ERDF co-funded programmes or other measures to support innovation activities in your region. You may select as many as are relevant.

- Descriptive statistics
Use of basic descriptive statistics to analyse or to describe the data (e.g. analysis of the number or type of applicants to the scheme, etc.).
- Input/output analysis
Method used to represent the interaction between sectors of a national or regional economy in a given time period, and to predict its reaction to stimulation, for example, to increased consumption or changes in government policy.
- Cost benefit approach
Procedure for determining the economic efficiency of a programme, expressed as the relationship between costs and outcomes, usually measured in monetary terms.
- Econometric analysis
The use of sophisticated econometric models or other similar approaches to study the data.
- Counter-factual approaches
Approach that compares the state where no intervention has (or is assumed to have) taken place and the state where there has been an intervention. Can include the use of control groups where data from the participants/beneficiaries of a programme is compared to data from non-participants/beneficiaries, or the use of before/after comparisons.
- Case studies
Methods of inquiry that focus on detailed data collection and analysis and which focus on a restricted number of participants/beneficiaries.
- Network analysis
Analysis that aims to understand the social and other forms of interaction between the subjects of an evaluation including the beneficiaries.
- Other analytical methods (please specify)

Q15 This study seeks to identify the likely demand for, and main focus, of required future guidance on evaluation of innovation activities from the Managing Authorities: The following are potential difficulties that might be faced when commissioning or managing evaluations of programmes or other schemes to support innovation activities. Please indicate the degree to which these are relevant to your personal situation.

	Very relevant (1)	Sometimes relevant (2)	Rarely relevant (3)	Not relevant (4)
Innovation support is not provided in your region	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
There is a lack of in-house knowledge on methods for such evaluations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Higher policy levels and other stakeholders have no demand for such evaluation activities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Available budgets or personnel resources are too limited to support such evaluations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
There is a lack of expertise amongst potential consultants to perform such evaluations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
We see no strong reason to undertake such evaluations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
We do not wish to place additional burdens on our client/target group by performing such evaluations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Existing evaluation methods/approaches are inappropriate for our specific context of regional innovation support	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Evaluation activities do not form part of the policy implementation process	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other potential difficulties (please specify below)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q16 Other potential difficulties (from previous question)

Q17 Please indicate if you would be willing to be interviewed as part of the next stage of the study. The interview would be conducted by telephone and would not take more than 45 minutes of your time.

- Yes, I am willing to discuss my knowledge of evaluations of ERDF innovative measures.
- No, I do not have any further information to contribute myself

Q18 Thank you! Please provide your phone number below (including country dialling code):

Q19 Can you suggest someone else in your region, in another region within your country or in another region in another Member State who would be useful for us to contact in the context of this study?

- Yes
- No

Q20 Please give potential contacts in your region:

	Name	Region	Country	email address	Telephone number
Contact 1					
Contact 2					
Contact 3					
Contact 4					
Contact 5					

Q21 Finally, do you have any further specific or general remarks to add about the issues raised in this particular survey?

END

If you have answered all the questions that you are able to, please press the 'Next page' button to exit the survey and to record your answers.

THANK YOU FOR YOUR TIME AND COOPERATION IN COMPLETING THIS QUESTIONNAIRE!

Evaluation of innovation activities co-financed by the ERDF

Dear \${m://FirstName} \${m://LastName},

[Technopolis Group](#) and the [Manchester Institute of Innovation Research](#) (MIOIR) have been commissioned by the European Commission DG REGIO to undertake a study of evaluation activities related to innovation support instruments co-funded by the European Regional Development Fund (ERDF).

The overall objective of the study is to examine the methods applied to evaluating the effects of publicly funded innovation activities and to suggest relevant methods, or a combination of them, for the most common innovation activities supported by the ERDF.

Further information on the study is provided in the accompanying letter which may be found at the survey link below.

In order to ensure the maximum input of this study, I would very much appreciate your investment of a short amount of time (15-20 minutes) in completing this brief questionnaire which will form an important input for the preparation of future guidance on evaluations to be made available to all ERDF management authorities.

All responses will be treated confidentially and only aggregated data will be included in reporting.



Yours sincerely

Veronica Gaffey
Acting Director

If you require any clarification on the survey and its questions, please contact:
Paul Cunningham, MIOIR (paul.cunningham@manchester.ac.uk)

Marielle Riché, Directorate General Regional Policy, Evaluation Unit
(marielle.riche@ec.europa.eu) is responsible for this study in the European Commission.

WE WOULD BE VERY GRATEFUL IF YOU COULD PLEASE COMPLETE THE SURVEY BY

FRIDAY 13th MAY

THANK YOU!

Direct financial support for innovation activities	Support for R&D and demonstrator projects (through loans or grants)
Innovation management support and dissemination	Support for non-R&D related aspects of innovation such access to advice and training for innovation related management or for entrepreneurship, etc.
Intermediary bodies, agencies etc.	Support for intermediary organisations to facilitate technology transfer, including science parks and technology transfer agencies, poles and incubators.
Start-ups and Spin-Offs	Mechanisms aiming to support the creation and growth of new firms, including seed funding and venture capital.
Networks & Clusters, collaboration and Technology/Knowledge Transfer	Support aimed at the development of inter-organisational cooperation in the production and transfer of knowledge / innovation. Generally involves inter firm networks rather than individual collaborations. Can involve mobility of personnel.
Science – industry cooperation	Support for linkages or direct cooperation between science (including both HEIs and public research establishments) and industry to facilitate/promote exchange of knowledge. Can involve mobility of personnel.
Support for the development of ICT	Support for the uptake of ICT by firms and households, support for the supply and demand of ICT products and services including e-government, e-business, e-learning and e-health, broadband infrastructures
Other innovation support measures	Please specify.....

Appendix E Interview guide for telephone survey of targeted Managing Authorities

Evaluation of innovation activities co-financed by the ERDF

Telephone Survey of targeted Managing Authorities

Background

Technopolis Group and the Manchester Institute of Innovation Research (MIOIR) have been commissioned by the European Commission DG REGIO to undertake a study of evaluation activities related to innovation support instruments co-funded by the European Regional Development Fund (ERDF).

The overall objective of the study is to examine the methods applied to evaluating the effects of publicly funded innovation activities and to suggest relevant methods, or a combination of them, for the most common innovation activities supported by the ERDF.

The specific objectives are "to provide an assessment of the state of the art in the evaluation of innovation in the Member States, provide an analysis of the advantages and limitations of available methodologies for assessing different kinds of innovation activities, conduct 15 case studies on good quality evaluations, and draft guidance for managing authorities to support their evaluation activities".

As part of this study, we are looking to interview officials from a narrow selection of Managing Authorities (MAs). The telephone survey will take the form of a structured interview seeking to deepen and widen the insights gained from the broader online survey of all 300+ MAs which took place in May 2011.

We have included you in the selection of a core group of MAs based on the results of the online survey, which indicate that you have experience in the management of ERDF co-funded programmes (or other schemes to support innovation activities) and that you have been involved in the commissioning of relevant "good practice" evaluations.

The primary purpose of the interview is (a) to help us understand your specific requirements vis-à-vis a Guidance Document for the evaluation of innovation activities, and (b) help us identify relevant evaluations for in-depth case studies which will be part of the final output of this study.

In order to facilitate coherent discussion, this document provides a general **outline for the interview**, as well as an accompanying **explanatory note** consisting of (a) a glossary of common evaluation terms (data collection methods and analytical tools), and (b) a description of the key categories of innovation support measures.

The information gathered through this series of telephone interviews will be an important input for the preparation of future guidance on evaluations to be made available to all ERDF management authorities.

Please note that all information from the interviews will be treated confidentially and no individual comments, unless prior written consent has been received, will be quoted in our reporting.

For further information on the study, please contact Alasdair Reid, Technopolis Group Belgium (alasdair.reid@technopolis-group.com). Marielle Riché, Directorate General Regional Policy, Evaluation Unit (marielle.riche@ec.europa.eu) is responsible for this study in the European Commission.

The study Terms of Reference (No. 2010.CE.16.O.AT.075) are available on the Inforegio website: http://ec.europa.eu/regional_policy/tender/tender_en.htm

Interview Guide

1. What role does your organisation play in the management of Structural Fund co-financed programmes? Please explain your role in your organisation, and your involvement with evaluation in particular.
2. Innovation support has been prioritised during the 2007-13 period and greater financial resources have been allocated in most national or regional policies. In this context:
 - i) Have the MAs taken steps to establish specific targets and corresponding indicators of relevance for measuring innovation measures? If so, have specific problems arisen concerning such indicators and targets?
 - ii) What types of innovation measures (see indicative list in annex) have been evaluated during the period 2005-10? Do you tend to focus evaluations on certain types of support (e.g. direct funding of enterprises)? If so, why?
 - iii) To what extent have the results of past evaluations been used in the design or revision of innovation policy, in general, and with regard to specific ERDF policy measures?
 - iv) Do plans exist to launch evaluations of innovation measures funded during the 2007-13 period? If yes, is there a focus on certain types of measures?
 - v) How has the evaluation of innovation support developed over the last two ERDF programming periods (2000-06 and 2007-13) – i.e. become more widespread, attracted more resources, attracted more policy attention, etc.?
3. Considering the evaluation of Structural Fund programmes in your country/region:
 - i) Is there an overall unit responsible for drawing up evaluation plans or is it decentralised to implementing agencies, etc. More specifically, who is responsible for commissioning individual evaluations and is the same body responsible for overseeing the implementation of these evaluations?
 - ii) Are there any important differences in the treatment of innovation support, as compared with other types of measures? If so, what are those differences?
 - iii) Have the managing authorities, or another agency, invested in any related activity, to support its innovation evaluations (e.g. regular compilation and reporting of trends in national and regional statistics; implementation of bespoke regional studies or innovation surveys to provide baselines or other control data; internal training; development of specific guidance; other)?
 - iv) Do you have an evaluation handbook or guidelines (and if so, does it contain specific guidance for evaluations of innovation measures)?
4. What kinds of organisation typically carry out innovation evaluations, e.g. internal unit vs external contractors; academic specialists vs evaluation consultants?
 - i) Do you face any difficulties in obtaining qualified evaluators for your evaluations?
 - ii) If yes, how do you overcome these?
 - iii) What procedures, if any, do you use to quality review the work of evaluators?
 - iv) As a rule, are the results of evaluations published? If not, why not?

5. We have a list of your evaluations of innovation support (derived from the on-line survey) – which of these, if any, would you see as being ‘good practice’ or an example for a case study, in terms of methodological tools or the evaluation process?
 - i) Why do you consider it good practice? What were the lessons drawn from these evaluations, in terms of the evaluation process overall or the particular tools or methods?
 - ii) Is there a report of this evaluation available? Who would be the best people to speak with about using the work as a case study?
 - iii) Can you suggest any other relevant evaluations that have taken place over the past 2-3 years and that we should be aware of, in addition to the list we derived from the online survey? Is it possible to obtain these evaluations?
 - iv) What qualities do you consider make an evaluation useful, to the managers of innovation measures or the Structural Fund managing authority?
 - v) What would you consider are the common/ general shortcomings of current evaluation practice in the field of innovation support?

6. What types of evaluation methods (see list of methods in annex) tend to be commonly applied in recent evaluations in your region?
 - i) Do you consider some of these methods more useful than others in the context of particular types of innovation support measures?
 - ii) Are there any particular methodological problems or challenges when it comes to the evaluation of innovation activities? What are these?
 - iii) What has the Authority done in order to overcome these challenges?

7. With a view to the future evaluation of ERDF co-financed innovation support measures:
 - i) What sort of technical assistance or support would you find useful? (e.g. training for internal evaluation teams; repository of past ERDF evaluations commissioned by managing authorities; registers of specialist contractors; guidance on specific methods; guidance on evaluating specific types of innovation action; performance benchmarks/ value for money for specific types of innovation support, etc.)?
 - ii) What would you expect from an evaluation guidance document? What are the key elements that should form part of such a practical guidance document? What is the optimal format for such a document (paper, online, etc.)?

8. As part of this study we are planning to organise a workshop with Management Authority officials from across Europe where the main findings and draft conclusions of this study as well as the draft guidance document will be presented and debated with participants. The workshop is likely to take place in mid/end November 2011. Would you be potentially interested in participating in such a workshop?

Thank you for your time.

Explanatory notes

Common data collection methods for evaluations

The following table provides an overview and explanation of the main data collection methods commonly used in evaluations.

Method	Description
Use of existing monitoring data collected during programme lifetime	Use of data and other information relating to the programme's administration, activities or performance systematically collected during the lifetime of the programme, usually by the programme management or administration.
Use of existing surveys or databases	Generally collected for purposes external to the evaluation and the measure (e.g. Community Innovation Survey data, opinion polls, business expenditure surveys, etc.).
Document and literature searches	Use of documents and literature directly or indirectly related to a programme. May include, for example, administrative manuals, application forms, assessment forms, existing evaluation reports and broader policy reports.
Participant interviews	Interviews (either face-to-face or by telephone) conducted with those who have participated in a measure (e.g. recipients of funding) or those who have benefited from the activities or services provided by a measure. May involve a structured interview format but allows scope for investigating issues that arise during the interview itself.
Non-participant interviews	Interviews (either face-to-face or by telephone) conducted with those who have not participated in a measure (e.g. recipients of funding) or who have not benefited from the activities or services provided by a measure. May involve a structured interview format but allows scope for investigating issues that arise during the interview itself.
Participant surveys	Surveys conducted with the participants or beneficiaries of a measure. Usually involve the completion of a structured questionnaire (paper or on-line).
Non-participant surveys	Surveys conducted with those who have not directly participated in, or are not the main intended beneficiaries of, a measure. Usually involve the completion of a structured questionnaire (paper or on-line).
Focus groups, workshops, group meetings, etc.	A small panel of people selected for their knowledge or perspective on a topic of interest, brought together to discuss the topic with the assistance of a facilitator. The discussion is used to identify important themes or to construct descriptive summaries of views and experiences on the focal topic.
Peer reviews	Evaluation or assessment of programme activities or programme outcomes/outputs involving qualified individuals within the relevant field.
Bibliometric or patent database studies	Searches of scientific publications (and sometimes their citations) and patents from bibliometric and patent databases.

Common analytical methods

The following table provides an overview and explanation of the main analytical methods commonly used in evaluations.

Method	Description
Descriptive statistics	Use of basic descriptive statistics to analyse the data (e.g. uptake analysis, meaning the extent to which target beneficiaries have taken up the support provided by an intervention/ support measure).
Input/output analysis	Method used to characterise economic activity in a given time period, and to predict the reaction of a regional economy to stimulation, for example, from increased consumption or changes in government policy.
Cost benefit approach	Procedure for determining the economic efficiency of a programme, expressed as the relationship between costs and outcomes, usually measured in monetary terms.
Counter-factual approaches	Approach that compares the state where no intervention has (or is assumed to have) taken place and the state where there has been an intervention. This approach typically uses a comparison group of non-treated units in order to be able to estimate additionality.
Other econometric analysis	The use of other techniques drawing on advanced statistical methods such as regression analysis.
Case studies	Methods of inquiry that focus on detailed data collection and analysis and which focus on a restricted number of participants/ beneficiaries.
Network analysis	Analysis that aims to map the social interaction between the subjects of an evaluation including the beneficiaries.
Before/after group comparison approaches	Approach that compares data on participants/ beneficiaries collected before the intervention with that collected after the intervention.
Micro-economic modelling	Micro-economic modelling refers to modelling behaviour/ performance of individual economic actors, most often businesses but also households, consumers, etc. In the context of evaluation, micro-economic modelling would be used to try to understand the effects (or lack thereof) of public interventions on the behaviour of a business (or other economic actors). The usefulness of the model depends on whether it can be generalised.

Categories of innovation support measures

The following table provides an overview and description of the main categories of innovation support measures that are being used by the study to prepare evaluation guidance.

Number	Type of measure	Definition
1	Direct financial support for innovation activities	Support for R&D and demonstrator projects (through loans or grants), through competitive or uncompetitive application process.
2	Innovation management support and dissemination	Support for non-R&D related aspects of innovation such access to advice and training for innovation related management or for entrepreneurship.
3	Intermediary bodies	Support for intermediary organisations to facilitate technology transfer, including science parks and technology transfer agencies, poles and incubators.
4	Start-ups and Spin-Offs	Mechanisms aiming to support the creation of innovative enterprises and the growth of firms/ SMEs, including seed funding and venture capital.
5	Networks & Clusters	Support aimed at the development of inter-organisational cooperation in the production and transfer of knowledge/ innovation. Networks and clusters involve cooperation amongst a wide range of participants, often around a particular set of competences and themes. This cooperation is organised either around a territory (clusters) or around virtual communications (network). Can involve mobility of personnel.
6	Science-industry cooperation	Support for linkages or direct cooperation between science (including both HEIs and public research establishments) and industry to facilitate/ promote exchange of knowledge. Can involve mobility of personnel. Science-industry cooperation is more bilateral (compared to 'Network and clusters'). It is based either on short-term collaboration (often around R&D projects) or around long-term collaboration (centres of competences or centres of excellence).
7	Support for the development of ICT	Support for the uptake of ICT by firms and households, support for the supply and demand of ICT products and services including e-government, e-business, e-learning and e-health, broadband infrastructures.
8	R&D training and skills	Measure aiming at developing Science & Technology labour force, mainly through the introduction of training/ curricula in universities/HEIs, that might involve enterprises or aimed at supporting the technology/innovation capabilities of a region/country.

Appendix F Case study draft reporting template and indicative interview pro-forma

Case study of evaluation practice

Case study reporting template

Introduction (0.5 page)

- Short description of the evaluation and the evaluated measure and its policy context
- Short paragraph on why and for whom is this evaluation useful (highlight the most interesting elements of the evaluation, e.g. use of specific method, communicating the recommendations, etc.)

Description of the evaluated measure (0.5 p)

- Objectives and main target groups of the policy measure
- Policy context: policy objectives, programme objectives, targets (if specified)
- Background information (box): name of the measure, name of the programme, type of measure as per the typology used, budget of the measure (national, EC, private), start-end date, geographical coverage

Designing evaluation study (2 p)

- The process of designing the terms of reference (organisation, responsibilities)
- Key elements of the ToR:
 - Main objectives and the lead questions/key topics of the study
 - Methodological approach: requirements as per ToR, prescriptive or open approach to methodological approach
 - Evidence: indicative evidence base of the evaluation
 - Budget and duration of the study
- To what extent the data needed for the evaluation was taken into consideration during the design of the programme and/or for the design of the ToR

Implementing evaluation: methodology and process (3 p)

- Internal or external evaluation
 - If internal: short description of the department/unit/team responsible for evaluation
 - If external: short description of the selection process of the evaluator (short information on the award criteria)
- The approach and methodology

- General approach
- Methodology
- Gathering information and data process: organisation, methods and tools
- Analysis and recommendations: methods and tools
- Organisation of evaluation process
 - the contacts between the MA and the contractor, reporting, feedback, engagement of stakeholders etc

Effectiveness and efficiency of evaluation (2-3 p)

- Robustness and effectiveness of methodology/methods applied: to what extent the study has responded to the evaluation objectives; if case of limits or gaps describe:
 - external limitations (e.g. data availability, nature of measure evaluated, lack of formal targets)
 - internal limitations (e.g. evaluation budget, evaluators competencies, time constraints, etc.)
- Efficiency of methods
 - could the same or better results be achieved with another approach (e.g. less costly and less complex methodology) or with a slightly higher budget?

Conclusions and lessons learned (1 p)

- What worked well in the evaluation (process, methods, interactions)?
- Limitations to the evaluation of this type of instrument (internal resources, availability evaluation competencies, context issues, scale and scope issues, target issues, etc.)
- What was learned about evaluating innovation support measures?

Indicative pro-forma interview

The following interview questions are indicative and need not be asked in the suggested order. While the respondents should not feel constrained by the formal requirements of the template, the interviewer should make sure that the main points of the case study reporting template are covered.

The questions should be adapted to the level of experience and knowledge of respondents (e.g. detailed methodological questions are not primarily aimed at members of the MAs, but rather responsible evaluators and/or desk officers).

The suggested interview questions are as follows:

1. Why was the evaluation commissioned?
2. How was the process of preparing terms of reference organised (drafting, internal and external consultations etc.)?
3. Who designed the objectives, scope, evaluation questions and the budget?
4. Are there 'official' guidelines or procedural guides (either at regional, national or supra-national level) which were followed in the evaluation design and commissioning process?

5. Has the evaluation methodology been adjusted and discussed during the implementation? Give concrete examples and explanation why.
6. How have the contacts between the MA and the contractor been organised (number and frequency of meetings, participation in meetings etc)? Were there any problems encountered in the relation between the MA and the contractor?
7. Were there any problems encountered in terms of gathering evidence and getting access to the beneficiaries? How were the contacts between the contractor and the stakeholders organised?
8. Was the methodology sufficient to respond to the evaluation questions?
9. Which questions/issues were not addressed or not addressed sufficiently – and why?
10. Was the methodology and methods efficient in terms of budget used (cost/benefit assessment; possible alternatives)?
11. What worked well in the evaluation (process, methods, interactions)? What did not work well?
12. What are the limitations to the evaluation of this type of instrument?
13. What strategies could be defined to deal with these difficulties?
14. What was learned about evaluating innovation support measures?
15. If the MA (and other stakeholders) could design the terms of reference and the evaluation process again would they change anything (e.g. in terms of restrictiveness in designing the methodology, quantifying the results, number of evaluation questions, involvement of stakeholders, involvement of policy makers, etc.)?
16. What additional support could be provided to assist in the evaluation of future ERDF-supported instruments? (evaluation capacity building, training in monitoring and evaluation, more prescriptive guidelines, less prescriptive guidelines, best practice examples, etc.) What form could this take? (information exchange, secondments, training courses, etc.)

Appendix G Case study evaluation brief template

Template for an evaluation brief

This is designed as a stand-alone document (1 page)

Introductory information

- Title of the study
- Name of the evaluated measure scheme / programme
- Short description of the evaluated measure
- Type of evaluation
- Region / Country
- Commissioned by
- Author
- Key words (e.g. cluster, business networks etc)

Summary

Introduction (one paragraph)

- Objectives of the evaluated measure
- Objectives and main questions of the evaluation

Methodology and evaluation process (two paragraphs)

- Approach and main research methods, key information sources, duration and budget of the evaluation
- Key findings

Conclusions and lessons learned (one paragraph)

- What was learned about evaluating innovation support measures?

Further information

- Full case study at (url)
- Link to the evaluation study (url)
- Link and contract to the MA that commissioned the evaluation (url)

Technopolis Belgium
Avenue de Tervuren 12
B-1040 Brussels
Belgium
T +32 2 737 74 40
F +32 2 727 74 49
E info.be@technopolis-group.com
www.technopolis-group.com