Policy support to reforms of national research and innovation systems in Europe

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Policy Support: key features

1. **Systemic approach**: focus on improvement of a R&I (policy) system rather than effectiveness of individual programmes or institutions.

2. **Policy-oriented approach**: goes beyond descriptive analyses to provide policy recommendations to authorities.

3. **Combination of country-specific features and international good practices**: starting point is the host country system, assessments and recommendations draw on knowledge gained in other countries.
1. **Three-step approach** comprising a preparation phase, an implementation phase and an incorporation phase.

2. **Use of panels of experts and peers** to foster learning from both conceptual and practical expertise.

3. **Combined use of both quantitative/codified and qualitative/embodied evidence**, the latter through field visits in the host country and meetings with stakeholders.

4. **Focus on stakeholder involvement**: mobilisation of actors in the reviewed system, aiming at information gathering and facilitating the implementation of the reviews’ conclusions and recommendations.
EU Policy Support Facility (1)

- PSF established in 2015 under H2020
- Builds on history of CREST and ERAC reviews and policy learning activities
- Aim: to induce reforms of national R&I systems
  - Challenge-driven
  - Customer-oriented, flexible
  - Geared towards policy practice: tailor-made advice
  - Evidence-based: blending peer practice and high-level expertise

1. Peer Reviews of national R&I systems
2. Specific support to countries (+ pre- and post- peer reviews)
3. Mutual Learning Exercises (MLE)
EU Policy Support Facility (2)

- No standardised approach: structured in line with the focus areas determined by reviewed country
- Importance of the framework conditions and context in the host country
- Evidence-based analysis of country's R&I system, focusing on diagnosing the blocking factors or challenges
- Concrete, specific, operational and detailed recommendations: key policy messages highlighted upfront
- PSF Knowledge Centre gathers all relevant information + analyses developed in context of European Semester
- No systematic follow-up (but “post peer-reviews”)
- Duration: 6 to 9 months
EU Policy Support Facility (3)

**Preparation**
(scope, timing, engagement, focused self-assessment)
EC + national authorities

**Kick off at EC**
EC + PSF panel (experts only) + national authorities

**Background report**
PSF Panel (part) + contact host country

**First Country visit**
PSF panel + EC

**Draft report**
(preliminary findings)
PSF panel

**Second Country visit**
Discussion of draft report
PSF panel + EC

**Final report**
PSF panel

**Final meeting**
Presentation of final report
PSF panel + EC
INCO-Nets Policy Mix Peer Reviews (1)

- Coordination and Support Action (CSA) under FP7

- Aim of Inco-Nets: enhancing S&T cooperation between the EU and third countries

  ‘Policy Mix Peer Reviews’: systematic examinations and assessments of the national STI systems by peers and experts, aimed at improving the design and implementation of national S&T policy

  Premium on peer learning over the analytical dimension
INCO-Nets Policy Mix Peer Reviews (2)

- Framework: NIS model as used in CREST OMC Policy Mix Reports:
  - Science base
  - Human resources
  - Economic and market development, business research, technology development and innovation (RTDI)
  - Governance
  - Interlinkages

- Knowledge base: country reports produced in the frame of the project and other available documentation
- Ad hoc: no follow-up
- Duration: 6-9 months
INCO-Nets Policy Mix Peer Reviews (3)
OECD Innovation Policy Reviews (1)

- Science Policy Reviews in the ‘60s; 2005: Innovation policy reviews: 30 reviews implemented until 2017
- Focus on the capacity of the R&I systems to contribute to economic development
- Build on the wide OECD knowledge base, specific fieldwork in the country, and contributions from policymaker community.
- High reputation
- Strong analytical content
• Framework inspired by the National Innovation System, expanded into policy-oriented framework + customisation around key policy issues

• New attention to tackling societal challenges through research and innovation and public sector innovation

• Knowledge base: in-house OECD work - the joint OECD-World Bank Innovation Policy platform

• No systematic follow-up process. Some repeated reviews and informal follow-up

• Duration: 1 year
Diagnostic studies to help countries establish effective and transparent mechanisms to allocate public resources to promote economic growth and help reduce poverty.

Target group: developing countries

Capacity building component

Modular approach:
- Analysis of quality of the policy mix
- Evaluation of quality of design and implementation
- Analysis of efficiency in public spending
- Analysis of effectiveness in public spending
Framework: intervention logic of investing in STI: inputs (public STI funding); outputs (immediate results of STI funding); outcomes (1. research excellence; 2. collaboration science-industry and research commercialisation; 3. business R&D-based innovation; and 4. STI adoption and diffusion and non-R&D-based innovation) and impacts (innovation and productivity).

All WB products are peer reviewed


Duration: from 6 to 12 months
World Bank Public Expenditure Reviews (3)

- Prospect mission
  - WB staff
- Concept Note design and work plan
  - WB staff + national authorities
- Implementation in country
  - WB review team
- Draft report(s)
  - WB review team
- Dissemination and discussion
  - WB review team + national authorities
- Final report
  - WB review team
- Dissemination and decision meeting
  - full review
Differences between models

- Relative weight of the three steps
- Duration
- Balance between internal versus external sources of expertise
- Peers’ versus experts’ contribution
- Emphasis on peer learning
- Focus
- Depth of analytical work
- Field visits versus desk-based documentary analysis
Topic 1: Organising policy support activities: the role of international organisations and the methodological framework

1. Validity of “national innovation system” frameworks
2. Acquiring and further refining requests for policy support
3. The relevant data: the “right” data, absent data, information overload
4. Improving analytical tools: bridging assessments of system performance and of policy performance
5. Cross-fertilisation country-specific and thematic work
6. Cross-fertilisation between international institutions’ activities
Topic 2: Success factors for effective policy support: issues for the host country

1. Managing expectations in host country and ensuring policy commitment
2. Identifying and engaging relevant stakeholders
3. Scoping the policy support activity
4. The role of host country in information provision and in analysis
5. Capacity in host country
Topic 3: Success factors for effective policy support: the role of external contributions

1. Selecting a Review panel of experts and peers
2. Assigning roles to panel members
3. Making the most of country visits
4. Transnational learning from good practice
1. **Benefits to be expected** from policy support services: reforms; mobilisation; capacity building

2. How to understand policy **impacts**? Relationship between providing support and policy development

3. Tailoring **recommendations** to maximise impacts

4. **Follow-up** of policy support activities